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The Parallel Organization and Employee Perceptions of Participative Leadership in a Mid-Atlantic City

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**THE PARALLEL ORGANIZATION
AND EMPLOYEE PERCEPTIONS OF PARTICIPATIVE
LEADERSHIP IN A MID-ATLANTIC CITY**

Written By Landis Denise Faulcon

**A Dissertation submitted to the Faculty
of Old Dominion University in Partial Fulfillment
of the Requirements for the
Degree of**

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DISSERTATION ABSTRACT

THE PARALLEL ORGANIZATION AND EMPLOYEE PERCEPTIONS OF PARTICIPATIVE LEADERSHIP IN A MID-ATLANTIC CITY

Landis Denise Faulcon
Old Dominion University, 1999
Dr. Gail Johnson, Chairperson

Current literature is replete with examples of how bureaucracy hinders organizational performance in rapidly changing social, economic, and political environments. The use of a parallel organization has emerged as one approach to transforming traditional bureaucratic structures into high performance work systems.

This study examines a parallel organization created as part of a high performance organization (HPO) model in a mid-Atlantic city. The purpose of the parallel organization is to conduct the work of leadership, which consists of five functions: identifying customer needs and expectations; developing a shared vision and values; integration and stewardship; creating an environment conducive to learning, thinking, changing, and renewing; and enabling, empowering, and energizing employees. According to the HPO model, the parallel organization should lead to participative leadership in the hierarchy because in conducting the work of leadership, individuals at all levels of the organization are involved in processes which determine how work is performed.

The purpose of this study is to determine the extent to which the work of leadership results in employee perceptions of participative leadership. The research hypothesis is that the work of leadership in the parallel organization results in employee perceptions of participative leadership.

A survey of three comparison groups has been used to measure employee perceptions. Group A has had parallel leadership teams for two or more years. Group B has had parallel leadership teams for one year or less. Group C does not have parallel leadership teams. The purpose of the survey is to measure the impact of the work of leadership on employee perceptions of participative leadership. Purposeful sampling has been used in selecting departments for participation in this study. Non-leadership team members and leadership team members in each of the participating departments have been surveyed in order to examine differences in perceptions concerning the work of leadership. Surveys were administered to 990 employees in the mid-Atlantic city (non-leadership team members and leadership team members). There was a 79 percent response rate.

The results of this study suggest that the work of leadership in the parallel organization has resulted in limited employee perceptions of participative leadership.

DEDICATION

**This dissertation is dedicated to my parents,
Lenwood Faulcon, Sr. and Lula Wilkins Faulcon;
to my sisters, Cynthia and Sheryl;
and to my brother, Lenwood Jr.**

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First and foremost, I give thanks to God who is sovereign over all things. His grace and mercy enable us to accomplish our aspirations.

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I am grateful to the executive leadership team in the Mid-Atlantic city. This study would not have been possible without the enthusiasm, support and participation of individuals working in various levels of the city organization. The executive leadership team has provided me with many exciting learning opportunities, as well as open and welcoming study environment.

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CHAPTER I

Problem Statement

Research has shown that the traditional bureaucratic structure of organizations hinders their ability to adapt to changing internal and external conditions. Current literature (Senge 1990; Covey, 1989; Kanter et. al. 1992) suggests that bureaucracies must be replaced with organizational structures which are more flexible in responding to the diverse needs of their customers, proactive in anticipating and adapting to sometimes turbulent environments, and committed to continuous improvement. Characteristics of such structures include visionary and responsive leadership, the continuous pursuit of change and innovation, and participatory management styles (Popovich, 1998). These characteristics are essential to what is defined as high performance work systems (Lawler, et. al, 1995). According to current literature, the transformation of bureaucratic structures into high performance work systems requires new approaches to managing and leading people (Gephart and Van Buren, 1996). The use of parallel structures is one approach to transforming traditional bureaucratic structures into high performance work systems.

This study examines a parallel organization model to create a high performance organization (HPO) in a mid-Atlantic city. The purpose of the parallel organization is to conduct the work of leadership, which consists of five functions:

- ▼ Identifying customer needs and expectations
- ▼ Developing a shared vision and values

- ▼ Integration and stewardship
- ▼ Creating an environment conducive to learning, thinking, changing, and renewing
- ▼ Enabling, empowering, and energizing employees

According to the HPO model, the parallel organization should lead to participative leadership in the hierarchy because in conducting the work of leadership, individuals at all levels of the organization are involved in processes which determine how work is performed.

The purpose of this study is to determine the extent to which the parallel organization results in participative leadership. In this study, participative leadership is defined as supportive, group-centered, and collaborative activities which involve employees in processes which affect them and their work (Likert, 1961 and 1967; Bennis, 1991; and Ivancevich and Matteson, 1993).

McLagan and Nel (1997, p. 163) explain the importance of participative leadership, how it impacts employees, and why it is important to high performance in organizations:

A participative organization is not an anarchy. It has levels of authority. It has plans and responsibilities, power differentials and decision authorities. There are politics, reviews and approvals, and disciplinary systems. A participative organization also has common values and goals that operate as inviolate agreements and that help to determine whether people are and can be members of the organization.

An organization needs such binding forces to keep it together and to help it create more energy than it absorbs. But the stabilizing forces just reviewed have some important differences in participative

organizations and in authoritarian organizations. For one thing, stakeholder groups help to develop the plans, policies, values, goals, and disciplinary systems in participative organizations. In authoritarian organizations, these plans, policies, values, goals, and disciplinary systems are imposed.

Participative organizations differ from authoritarian organizations in another important way: In participative organizations, power differentials, decision authorities, and reviews and approvals exist to add value, not--as in authoritarian organizations--to coerce or to create persistent dependency. They exist to ensure appropriate levels of thought and debate and the best use of resources.

The study of the Mid-Atlantic city's parallel organization is an urban issue because it may offer new insights for improving efficiency, performance, and service delivery in fiscally stressed localities. As one of the nation's oldest urban cities, this mid-Atlantic city is challenged by an aging infrastructure, a declining population and dwindling tax base, declining revenue, competing political interests, and increasing demands for service. The purported flexibility of a parallel structure, which emphasizes participative leadership and collaborative processes, may lead to innovations in organizational performance and service delivery while making the best possible use of limited resources. Parallel structures may also facilitate greater community involvement and ownership in the collaborative processes of city government.

Introduction to the Parallel Organization

A parallel organization is a flexible and participative structure which can be used to supplement existing hierarchial structures within organizations (Zand, 1974;

Stein and Kanter, 1980; Huse and Cummings, 1985; Bushe and Shani, 1991). The implementation of a parallel organization challenges traditional organization theory which depicts a mechanistic versus organic organization dichotomy (Morgan, 1989). Stein and Kanter (1980) compare the mechanistic versus organic organization. The mechanistic organization is a static structure emphasizing formal relationships, rules and procedures, and the routinization of operations (p. 385):

The mechanistic organization is the maintenance-oriented, operating hierarchy: It defines job titles, pay grades, a set of relatively fixed reporting relationships, and related formal tasks. In the mechanistic organization opportunity tends to be limited to formal promotion paths, and power flows from the contacts and resources inherent in a defined position. The main function of the mechanistic organization is the maintenance of production and the system that supports it--that is, the continuing routinization of useful procedures."

In contrast to the mechanistic organization, change is the only characteristic which is constant or stable in the organic structure (Stein and Kanter, 1980, p. 385):

The organic organization, on the other hand, is change oriented and embodied in the parallel structure. People are grouped temporarily in a number of different ways as appropriate to the problem-solving tasks at hand. They are not limited by their position in the hierarchy. A different set of decision-making channels and 'reporting relationships' operates, and the organization as a whole is more flexible and flat. In this more fluid, parallel structure, opportunity and power can be expanded far beyond what is available in the bureaucratic organization. The main task of the parallel organization is the continued re-examination of routines; exploration of new options; and development of new tools, procedures, and approaches. It seeks to institutionalize change. As their utility is demonstrated, the new routines can be transferred into

the bureaucratic organization for maintenance and integration.

Contemporary management authors (Mohrman and Cummings, 1989; Galbraith et. al, 1993; Lawler, 1993) contend that both mechanistic (the traditional hierarchy) and organic (flexible, adaptive, and participative) structures are needed in overcoming the limitations of traditional bureaucratic organizations. They suggest that the hierarchy, directive leadership, and mechanistic values of the traditional bureaucratic organization are complimented by flexibility, participative leadership, and organic values in the parallel organization. Stein and Kanter (1980, p. 383) explain that although the literature suggests that the purpose and tasks of bureaucratic and parallel structures are different, they are not opposing entities:

Our experience shows that it is possible for a mechanistic and an organic organization to exist side by side, carrying out different but complementary tasks. These two kinds of organizations are not necessarily opposites. They are different mechanisms for involving people in organizational tasks.

When a parallel structure is implemented in an organization, the hierarchy is typically responsible for operations management while the parallel organization is concerned with leadership, strategic planning, problem-solving, and individual and organizational learning, etc. (Bushe and Shani, 1991). The implementation of a parallel organization is unique because it maintains the advantages of the traditional hierarchy, while providing an alternative structure which is flexible and participative, thereby creating opportunities for learning, innovation and change (Huse and Cummings, 1985; Cohen, 1993; Mohrman and Mohrman, 1993).

The HPO Model

The mid-Atlantic city's HPO model has evolved over the past 11 years. With the arrival of a new city manager in 1987, the city was facing a variety of financial difficulties. These difficulties lead to the realization that the city organization needed to be streamlined and restructured in order to survive the maladies associated with an aging infrastructure, a declining population, decreasing revenue sources, and other symptoms of fiscal stress. The HPO model was created as a tool for helping it focus on the factors necessary for achieving high performance, which is defined as financial performance, service product/quality, and customer value.

The HPO model is premised on two theories: Theory Y leadership (McGregor, 1960) and Systems Four Leadership (Likert, 1961). Both theories contend that assumptions about people lead to certain leadership behaviors. Theory Y managers, for example, believe that employees are self-motivated and committed to doing a good job. System Four managers believe that employees want to participate in activities which affect their work. Both theories suggest that supportive and participative leadership styles are needed in order to create productive work environments and to encourage high performance among employees.

The HPO model was developed by Dr. Robert Matson from the Weldon Cooper Center for Public Service at the University of Virginia and Dr. John Pickering from the Center for High Performance Organizations. Implementation of the model began with a focus on the leadership, vision, and values of the city organization. Early interventions included the use of the Myers Briggs Personality Type Indicator to assess

individual leadership styles among city leaders; the creation of an executive cabinet to lead and manage the change effort; and a variety of group activities at the executive level to define the vision and values of the organization (Olivo and Roberts, 1995). This work was later implemented in individual city departments. Since the introduction of the HPO model, the mid-Atlantic city has experienced many changes which have improved organizational systems, structures, and processes. However, the pursuit of high performance is still a work in progress.

The mid-Atlantic city's HPO model provides an example of how a traditional hierarchy can coexist with a parallel organization. The hierarchy is responsible for operations management, the implementation of strategies and innovations, and day to day decision-making. It is characterized by top-down communications, routine rules and procedures, fixed reporting relationships, and formal tasks. The parallel organization is a flexible and fluid structure consisting of some of the same organizational players which make up the hierarchy, yet with different expectations. The parallel organization is operationally defined as a collection of leadership teams. The expectations of the parallel organization include a de-emphasis on formal lines of authority with an emphasis on participative leadership. The parallel organization is a place where normal hierarchial rules are suspended, members are equal, and decisions are made by consensus. The purpose of the parallel organization is to improve how the hierarchy functions by focusing on the work of leadership. "The purpose of the parallel structure is to scan the organization and its environment and continuously look for ways to improve organizational functioning (Bushe and Shani, 1991, p. 28)".

The mid-Atlantic city's HPO model emphasizes strategic thinking and planning for continuous and long-term improvement. Subsequently, team work and other group processes, cross functional collaboration, and individual and organizational learning are critical components in the parallel organization. The parallel organization is a technostuctural intervention which promotes innovation and change through participative leadership in a bureaucratic organization, while maintaining the advantages of bureaucratic design (Huse and Cummings, 1985).

The HPO model in the mid-Atlantic city requires executive management--the city manager, assistant city managers, and department heads--to assume a dual role in the organization. They have a leadership position as well as a traditional manager position. This leadership position consists of visioning, establishing values, integrating the separate functional silos, empowering, and coaching on the parallel side of the organization, where the emphasis is on networking and collaboration, rather than control. The model also requires that leadership is not limited to the top of the organization, and that each member of the organization learn the behaviors, values, and processes which support the vision for high performance. Centralized training efforts, as well as departmental initiatives, assist in the implementation of the vision, values, and processes.

The parallel organization gives members of the hierarchy an opportunity to see how things can be done differently. The HPO theory requires that when working on the parallel side of the organization, members engage in strategic thinking, innovation, and learning. The outcomes (strategies, recommendations, etc.) of the parallel organization are implemented in the hierarchy, where the emphasis is on operational

performance. The parallel organization aims to improve the effectiveness and efficiency of getting things done in the hierarchy by involving members of the hierarchy in the work of leadership. The rationale is that efficiency and effectiveness are improved because members of the hierarchy participate in the parallel organization where recommendations for strategic actions are created, and strategies are developed for including all members of the organization in decisions that have an impact on their work. Because of their participation in the parallel organization, they are more likely to support and move forward with implementation in the hierarchy. And, they are more likely to use a participative leadership style in getting the work done. Several authors have noted that participative leadership is critical to both individual and organizational performance (Likert, 1961; Weisbord, 1987).

Interaction between the hierarchy and the parallel organization in the mid-Atlantic city occurs through communication channels specifically designed to report the status of activities within each entity. Interaction also occurs by virtue of the fact that the players in the hierarchy and the parallel organization are the same in many instances. For example, issues which are addressed by the Executive Leadership Circle (a parallel team) are carried over or transferred to the formal hierarchy at regular Department Head Group and City Manager's staff meetings for decision-making, further discussion, and/or implementation. A similar process occurs in City departments; strategies developed within the parallel leadership teams are transferred to the management team for further consideration and/or implementation.

Since the inception of the HPO model, several interventions have been implemented in the mid-Atlantic city. Some of the city's long-term HPO interventions have included the following:

- ▼ Executive management participation in the Senior Executive Institute sponsored by the Weldon Cooper Center for Public Service at the University of Virginia
- ▼ Participation by middle managers and supervisors in the Management Excellence or Leading, Education, And Developing programs sponsored by the Weldon Cooper Center for Public Service at the University of Virginia
- ▼ A Quality and Continuous Improvement seminar which is available to individuals at all levels of the organization
- ▼ A Situational Leadership seminar series for managers and supervisors
- ▼ A tuition assistance program
- ▼ Consulting services for executive, middle management, and supervisory staff provided by representatives from the Weldon Cooper Center for Public Service at the University of Virginia and the Commonwealth Center for High Performance Organizations
- ▼ Administration of the Myers-Briggs Personality Indicator
- ▼ The creation of a variety of departmental, cross-departmental, cross-functional, employee, and management teams
- ▼ The creation of new organizational units to address specific activities or functions identified in the HPO model

Scope of Study

The focus of this study is on the work of leadership performed in the parallel organization and its impact on employee perceptions. This study seeks to determine the extent to which the work of leadership results in employee perceptions of participative leadership. The research hypothesis is that the work of leadership in the parallel organization results in employee perceptions of participative leadership. All but one of the five functions of leadership in the parallel organization are inherent in the concept of participative leadership (Hesselbein, et. al. 1996 and 1997; and Weisbord,1987). The identification of customer needs and expectations is not a requirement for participative leadership. Therefore, it is not included in this study.

A survey of three comparison groups is used to measure employee perceptions. Group A has had parallel leadership teams for two or more years. Group B has had parallel leadership teams for one year or less. Group C does not have parallel leadership teams. The purpose of the survey is to measure the impact of the work of leadership on employee perceptions of participative leadership. Purposeful sampling has been used in selecting departments for participation in this study. Non-leadership team members and leadership team members in each of the participating departments have been surveyed in order to examine differences in perceptions concerning the work of leadership. Surveys were administered to 990 employees (non-leadership team members and leadership team members) between November 27, 1998 and December 21, 1998. There was a 79 percent response rate with 782 surveys returned.

CHAPTER II

Current literature suggests that traditional bureaucratic organizations cannot survive in today's ever changing social and economic environments (Osborne and Gaebler, 1992; Weisbord, 1987; and Hesselbein et. al, 1997). The literature implies that adaptability to change has become the most important determinant of survival (Slater and Bennis, 1990, and Popovich, 1998) Reinventing Government, Osborne and Gaebler (1992, p. 15) describe the challenges confronting organizations:

Today's environment demands institutions that are extremely flexible and adaptable. It demands institutions that deliver high quality goods and services, squeezing ever more bang out of every buck. It demands institutions that are responsive to their customers, offering choices of nonstandardized services; that lead by persuasion and incentives rather than commands; that give their employees a sense of meaning and control, even ownership. It demands institutions that empower citizens rather than simply serving them.

In comparing old and new models of management, research suggests that the move toward a high performance work system requires a drastic paradigm shift (Bennis, 1991). This shift involves rethinking and redefining the mission, vision, values, and purpose of the organization; relationships between customers and service providers; the nature of work and human resource management and internal work processes. According to recent journal articles and research (Bennis, 1993; Champy, 1995), this paradigm shift must begin with top leadership. Hesselbein et. al (1996) and Galbraith et. al (1993) suggest that leadership is the primary and most fundamental element in developing and maintaining organizational structures which encourage and facilitate high

performance. "Major change programs must be top-down and vision-driven, and they require broader participation in the design and implementation phases" (Champy, 1997, p. 9).

The Limits of Bureaucracy

Traditional bureaucratic organizations are characterized as hierarchies emphasizing centralization and chain of command authority, functional specialization and division of labor, strictly enforced rules and procedures, and the selection and promotion of employees based on technical competence (Hummel, 1977; Pinchot and Pinchot, 1993; Osborne and Plastrik, 1997). The bureaucratic model offers a framework for organizing and managing the operations of an organization. It provides a structure for the production of standardized, predictable, and replicable performance among differing groups of individuals and organizational units (Bushe and Shani, 1991). The rigidity of the bureaucratic model is intended to yield better control and efficiency in organizational processes.

Weber (1947; 1968) maintained that bureaucracy was fundamental to organizational efficiency. His concept of the ideal bureaucracy was predicated upon impersonal relationships as prescribed by explicit rules and procedures, a functional division of labor and responsibility, the routinization of work, predictability, technical competency, and strict adherence to a hierarchial chain of command (1947). "Weber examined bureaucracy as a form of organization especially suited for, and functionally

adapted to an economically developed, technically complex modern society" (Abrahamson and Janowitz, 1997, p. 58).

Current literature (Hult and Wolcott, 1990; Linden, 1994; Osborne and Plastrik, 1997) indicates that the emergence of bureaucracy in public organizations mirrors the experience of private organizations. As mass production of goods and services became more common place, and as customers and their demands for service became more diverse and complex, bureaucracy emerged as a rational means of managing organizational growth and efficient service delivery (Abrahamson and Janowitz, 1997). Osborne and Plastrik (1997, p.38) write that bureaucratic systems were designed to be stable; however this stability has become counterproductive:

In today's fast-changing, globally competitive information age, systems that cannot change are doomed to failure. They are like dinosaurs, which could not evolve fast enough to survive when their environment changed.

The authors contend that the traditional bureaucratic paradigm may not be appropriate or effective in today's environment.

A literature review reveals that bureaucracy is believed to hinder an organization's ability to quickly respond to new information, technology, work processes, and environmental challenges. Bennis (1967) writes that bureaucracy emerged out of the need for more predictability, order, and precision. Yet, several authors (Hummel, 1977; Morgan, 1989; Weisbord, 1987; Drucker, 1989) note that bureaucracy is dysfunctional and obsolete in conditions of uncertainty and change in organizations. "Each attribute that helps ensure predictable, replicable performance gets in the way of learning,

adaptation, and change" (Bushe and Shani, p. 7). The limits of bureaucracy are summarized as follows:

Bureaucracy limits an organization's ability to meet changing conditions because it lacks flexibility and adaptability; reduces creativity and innovation; creates functional silos which limit an individuals understanding and contributions to needs of the larger organization thus they experience difficulty in working on issues and with others which pertain to the larger organization; affects organizational efficiency as individuals have to wait until decisions are made in the hierarchy before taking action (Costley, et. al, 1978).

Management writers concur that bureaucratic structures are limited in their ability to perform in an era characterized by a knowledge-based economy, rapidly changing information and technological systems, diverse social conditions, and unpredictable political dynamics (Drucker 1988, 1989; Osborne and Gaebler, 1992; Hesselbein, et. al., 1997; and Kanter, et. al, 1992). They contend that the conditions which prompted the need for centralized bureaucracies no longer exist. Authors Osborne and Gaebler (1992, p. 15) offer the following explanation:

The bureaucratic model developed in conditions very different from those we experience today. It developed in a slower-paced society, when change proceeded at a leisurely gait. It developed in an age of hierarchy, when only those at the top of the pyramid had enough information to make informed decisions. It developed in a society of people who worked with their hands, not their minds. It developed in a time of mass markets, when most Americans had similar wants and needs. And it developed when we had strong geographic communities; tightly knit neighborhoods and towns.

A review of the literature reveals that bureaucracy works best under conditions of stable and predictable environments, simple and routine tasks, functional

specialization, and customers seeking similar services (Drucker, 1989; Pinchot and Pinchot, 1993; Linden, 1994). The literature demonstrates that these conditions are quite different from what organizations are experiencing today. According to Bennis (1967), Drucker, (1989), and Pinchot and Pinchot (1993), there are several "new realities" in organizations which have lead to the decline of bureaucracy: rapid and unexpected change, growth in the size of organizations, the complexity of technology, and changes in managerial behavior. These new realities have emerged as a result of three primary factors: customers, competition, and change (Osborne and Plastrik, 1997; Champy, 1995; Hammer and Stanton, 1995; and Kotter, 1996). The literature suggests that in order to survive, bureaucratic organizations must become more flexible in responding to customers, competition, and change (Mohrman and Cummings, 1989).

Champy (1995, p. 17) explains how today's customers are challenging bureaucratic organizations to become more responsive:

Customers today are characterized by their relentless demands in quality, service, and price; by their willingness to act on a default of contract; by their disloyalty. All this puts them as far away from the gentle, grateful, loyal customers of the 1950's and 1960's as a pirate crew is from a platoon of crew-cut Marines.

Bureaucracy with its emphasis on hierarchial relationships, technical competence, and predictable operating environments is not conducive to customer involvement (Hummel, 1977). Customer-driven organizations know their customers, are accountable to their customers, encourage and welcome innovation, and offer customers more choices regarding the services they want (Osborne and Gaebler, 1992; Osborne and

Plastrik, 1997; Champy, 1995). Kanter (1989) writes that strategic customer value analysis is critical to successful business operations. The literature suggests that the need for bureaucratic organizations to become more customer-driven is further demonstrated by competition in the marketplace.

To be competitive in meeting and exceeding customer requirements, the literature suggests that organizations must constantly strive to improve operations by reviewing and redesigning their processes (Hammer and Stanton, 1995). Research suggests that this is true even for public organizations as they find themselves competing with private organizations for the delivery of services which at one time were solely provided by government agencies (Osborne and Plastrik, 1997; Drucker, 1989). To remain competitive, the literature suggests that organizations will need to flatten their organizational structures and rely less on middle management and more heavily on specialists or knowledge workers; those individuals who know the processes and do the work (Drucker, 1988; Hammer and Stanton, 1995; and Kanter et. al. 1992). The rationale is that the specialists are in the best position to know the processes, know the customers, and implement the changes necessary to develop and maintain the competitive edge. Drucker (1988) writes that to remain competitive, maybe even to survive, organizations will have to quickly convert themselves into information-based entities comprised of knowledgeable specialists working in taskforces rather than traditional structures.

Change in both the internal and external environments of organizations is yet another factor which illustrates the limits of bureaucracy. Management scholars

and practitioners suggest that changing social, demographic, and technological conditions are challenging organizations to abandon bureaucratic practices (Kanter, et. al, 1992).

One frequently cited example of change in the internal environment of organizations involves increasing professionalism among workers. According to the literature, today's employees are better educated than their counterparts in the past; they enter organizations seeking meaningful work, participation in decisions which affect their work, and opportunities for advancement (Weisbord, 1987). Consider the distinction between knowledge workers and blue collar workers:

Knowledge workers, unlike manufacturing workers, own the means of production: they carry their knowledge in their heads and therefore can take it with them. At the same time, the knowledge needs of organizations are likely to change continually. As a result, in the developed countries more and more of the critical workforce--and the most highly paid part of it--will increasingly consist of people who cannot be 'managed' in the traditional sense of the word. In many cases, they will not even be employees of the organizations for which they work, but rather contractors, experts, consultants, part-timers, joint venture partners, and so on. An increasing number of these people will identify themselves by their own knowledge rather than by the organizations that pay them. (Drucker et. al, 1997, p. 22-23).

The Organization of the Future

Various authors suggest that organizations of the future will be more flexible, innovative, and participative than traditional bureaucratic organizations (Hesselbein et. al, 1997; Galbraith, et. al, 1993; Pinchot and Pinchot, 1993; Lawler,

1993). Miller (1997, p. 119) writes that the organization of the future will be an adaptable organism: "Its shape and appearance will change as its environment and the demands placed on the organization change." Drucker (1988, p. 47) writes that the new organization will be information-based with a flattened hierarchy and "far more specialists overall than the chain-and-control companies we are accustomed to." Osborne and Gaebler (1992) suggest that the organization of the future will be more entrepreneurial than traditional organizations; constantly using their resources in new ways to improve both efficiency and effectiveness.

Several scholars and practitioners concur that the organization of the future will have the following characteristics: rapidly changing information and technology, a knowledge-based economy, a flattened organizational structure, pursuit of diversity, commitment to individuals, a shared vision and values, mission-driven, and customer-focused (Popovich, 1998; Osborne and Plastrik, 1997; Drucker, 1988 and 1999; and Hesselbein et. al, 1996). The literature suggests that the requirements for success in the organization of the future include visionary and participative leadership, employee empowerment, customer involvement, and knowledge specialists (Drucker, 1989; Kotter, 1996; and Hesselbein, et. al, 1997; Popovich, 1998).

Linden (1994, p.14) writes that "innovative organizations in both public and private sectors are scrambling as they learn to adapt to the new realities." Although current literature is replete with examples of the limitations of traditional organization structures, it does not suggest that bureaucracy will cease to exist in the future. The literature suggests that there are some attributes of bureaucracy which should be

maintained: "There are some tasks and conditions for which a conventional line hierarchy is better suited than any other alternative" (Stein and Kanter, 1980, p. 372). These conditions typically include environmental stability, routine tasks and operations, and homogeneity among customer requirements.

Instead of replacing bureaucracy, some authors suggest that the work of organizational leadership is to create new structures which work in tandem with bureaucracy (Weisbord, 1987; Bushe and Shani, 1991; Hesselbein, et. al, 1996). The literature cites a particular need for the creation of flexible, alternative structures which complement the attributes of bureaucratic design while providing new opportunities for strategic thinking, problem solving, individual and organizational learning, and change (Zand, 1974; Stein and Kanter, 1980; Mohrman and Cummings, 1989; Bushe and Shani, 1991; and Galbraith, et. al, 1993).

Several writers suggest that a parallel structure offers the potential for transforming the traditional bureaucratic structure into the organization of the future:

We suggest that the parallel organization may be a significant answer to the problem of how to reform industrial and other organizational work in general. The workers (including managers and professionals) do it themselves through their participation in the parallel organization. Managers can support it because it does not undercut their own positions, nor replace their functions. On the contrary, managers, as well as workers, can benefit by taking advantage of these new developments and the opportunities they represent. The lessons of the parallel organization are brought back to the bureaucratic organization without replacing it (Stein and Kanter, 1980, p. 386).

Bureaucracy and the Public Organization

Several writers (Osborne and Plastrik, 1997; Linden, 1994; and Drucker, 1989) suggest that moving beyond the limits of bureaucracy may prove more challenging for public organizations than private organizations. Goodsell (1983) writes that bureaucracy is particularly important in public agencies because its emphasis on efficiency, rules and procedures, and chain of command works to safeguard the public interest. Appleby (1973, p. 147) offers a similar explanation of why bureaucracy is prevalent and perhaps necessary in government:

No other institution is so publicly accountable. No action taken or contemplated by the government of a democracy is immune to public debate, scrutiny, or investigation. No other enterprise has such equal appeal or concern for everyone, is so equally dependent on everyone, or deals so vitally with those psychological intangibles which reflect popular economic needs and social aspirations.

Linden (1994, p.30) writes that government became increasingly bureaucratic in response to problems, growth, and "the public's intolerance for fraud and spoils." He suggests that public organizations are in trouble because they are built on what he describes as fragmented bureaucratic structures which have outlived their usefulness. He writes that public organizations should be redesigned around desired outcomes rather than functions or departments. Linden contends that "seamless" organizations would be more efficient and adaptable in responding to changes in the internal and external environments. He notes, however, that creating seamless organizations structured on the basis of desired outcomes requires a new way of thinking;

one which challenges the fundamental assumptions on which public bureaucracies are built.

Osborne and Plastrik (1997, p. 12) offer another explanation of why bureaucracy is prevalent in public sector organizations:

In government, most organizations exist within fairly dysfunctional systems. Many organizations have multiple (sometimes conflicting) missions; few face direct competition; few experience consequences for their performance; few have clear bottom lines (few even measure their performance); and very few are accountable to their customers. These system realities create the incentives and conditions that drive organizations to act in a bureaucratic fashion. Until they are changed, it is difficult to build entrepreneurial organizations.

The authors (1997, p. 14) suggest that banishing bureaucracy and reinventing government requires fundamental changes in the systems within public organizations:

Reinvention is about replacing bureaucratic systems with entrepreneurial systems. It is about creating public organizations and systems that habitually innovate, that continually improve their quality, without having to be pushed from outside. It is about creating a public sector that has a built-in drive to improve; what some call a self-renewing system.

Drucker (1989, p. 63) explains the challenge public organizations experience in moving beyond the limits of bureaucracy:

Governments find it very hard to abandon an activity even if it has totally outlived its usefulness. They thus become committed to yesterday, to the obsolete, the no longer productive. And government cannot give up either when an activity has accomplished its objectives. A private business can be liquidated, sold, dissolved. A government activity is 'forever.' There are now

Sunset Laws which prescribe that government activities after a given time lapse unless they are re-enacted. But legislatures rarely refuse to renew an activity, no matter how obsolete or futile it has become. By that time, it has become a vested interest.

Other authors contend that "with effective leadership, ideas can penetrate established government processes and transform them" (Popovich, 1998, p.3).

Bureaucracy and the Parallel Organization

Stein and Kanter (1980) indicate that the challenge of the organization of the future is to permit bureaucracy to function where it is best suited, while creating a different structure which can address those areas where bureaucracy is not effective. The literature implies, "new organizational forms are evolving, which will be well adapted to a world that requires ongoing organizational learning and change" (Galbraith, et. al, 1993).

The parallel organization has therefore emerged as an alternative structure which can counteract the limitations of bureaucracy (Zand, 1974; Bushe and Shani, 1991; Galbraith, et. al, 1993. Zand (1974) defines a parallel structure as a supplemental organization which coexists with the traditional hierarchy of a formal organization. He suggests that a parallel organization does not replace the formal organization; it works in tandem with the formal organization. Zand writes that the parallel organization gives managers the opportunity to create a structure which compliments the static, impersonal features of the hierarchy by providing new

opportunities for participation and involvement. Mohrman and Mohrman (1993, p. 95) observe the following:

A parallel organization is intended to solve problems and to introduce change. It supplements the regular hierarchial organizational structure, which has been designed to carry out the ongoing work of the organization and operates on the principle of control, stability, and maintenance of the status quo. (Galbraith, et. al, 1994, p. 95).

Stein and Kanter (1980) define a parallel structure as a "flat, flexible, but formal problem-solving and governance organization." They write that the parallel structure does not replace bureaucracy; it exists side by side with it. According to Stein and Kanter, the parallel structure creates a new source of opportunity and power within bureaucratic organizations:

Because a sense of opportunity and power is critical to a high quality of work life, the parallel structure enhances individual satisfaction and effectiveness in the very act of coping with the new external pressures. The parallel structure thus forms a mechanism for building high quality of work life and environmental responsiveness permanently into bureaucratic organizations.

Bushe and Shani (1991) define the parallel organization as a learning structure created for the purpose of generating and implementing new thoughts and behaviors among employees. Consistent with other management authors, they concur that the parallel structure works in tandem with the regular organization.

According to Stein and Kanter (1980, p. 373), the parallel organization is an organic structure which is designed to improve the flexibility and responsiveness of the conventional hierarchy:

The parallel organization is an attempt to institutionalize a set of externally and internally responsive, participatory, problem-solving structures alongside the conventional line organization that carries out routine tasks. The parallel organization is not the same as the 'informal' organization that has long been recognized to coexist with a formal organization. The parallel organization is a second, equally formal structure. Nor is it an entirely new structure such as a matrix that replaces the previous bureaucratic structure.

Rationale for Creating the Parallel Organization

In theory and practice, the parallel organization is a technostuctural intervention designed to increase employee participation and involvement in organizational processes (Huse and Cummings, 1985; Bushe and Shani, 1991; Galbraith et. al, 1994). A technostuctural intervention is defined as a change in the structure of an organization for the purpose of improving, stabilizing, or aligning the technical and social systems within that organization (Bushe and Shani, 1991, p. 2). The literature implies that attention to organizational structure is important because it affects how people behave:

They channel effort and energy in a particular direction when they are well-designed and they support employees in accomplishing their tasks; when they are poorly designed, they can get in the way. Since they channel effort, changes in the structure can lead to

changes in how people behave at work (Bushe and Shani, 1991, p. 3).

Structure is particularly relevant as organizations strive to redesign themselves in order to become more responsive and adaptive to changing internal and external environments. Current literature suggests that the structure of bureaucratic organizations is in conflict with the characteristics required to lead and manage organizations of the future (Hesselbein, et. al, 1996). It further suggests that a parallel structure can provide opportunities which do not exist in the regular organization:

The parallel learning structure provides a time and place where organizational inquiry is legitimate. Its existence tells people this is where it is okay to question, to express doubts and reservations. When you're in the parallel structure, your role is to question the organization and promote change. When you're in the formal organization, your role is to comply with the organization and maintain its stability (Bushe and Shani, 1991, p. 11).

As noted by Stein and Kanter (1980, p. 373), "The parallel structure thus forms a mechanism for building high quality of work life and environmental responsiveness 'permanently' into bureaucratic organizations."

Cohen (1993, p. 207) writes that the use of parallel structures is becoming increasingly popular "because they are easy to install and require no shifts in managerial power and authority or changes in organizational structure." She also writes that there is little to no empirical evidence which demonstrates the effectiveness of parallel structures.

The Parallel Organization in Action

According to Zand (1974), no new people are required to work in the parallel organization; the same people who work in the hierarchy work in the parallel organization. However, the roles and responsibilities of individuals participating in the formal organization are different from their roles and responsibilities in the collateral or parallel organization. Zand explains that the norms of the parallel organization are different from those of the formal hierarchy. These norms, which include a de-emphasis on formal roles and relationships and the rapid and complete exchange of information, tend to generate new ideas by encouraging the questioning and analysis of goals, assumptions, and strategies (Zand, 1974; Galbraith, et. al 1993).

Zand's explanation of the norms within a parallel organization is substantiated by Bushe and Shanti (1991, p. 10):

The key thing about parallel structures is that they create a bounded space and time for thinking, talking, deciding, and acting differently than normally takes place at work. If you don't implement different norms and procedures, you don't have a parallel structure. The most important and difficult task for the people creating the parallel learning structure is to create a different culture within it.

The norms and procedures of a parallel organization distinguish it from typical task forces and teams. "The different norms facilitate new ideas and new approaches to obstacles" (Zand, 1974, p. 71). Cohen (1993) writes that parallel structures have clear boundaries, and they are created for the distinct purpose of making recommendations for improvement to members of the hierarchy. She explains that no

change occurs unless a recommendation is approved by the hierarchy. According to Cohen, parallel team members meet regularly, and they may follow defined processes for problem-solving; they may also receive training in the use of problem-solving processes and skills. Galbraith et. al (1993) suggest that unless clear boundaries and processes are established for parallel teams, they will operate within the same norms and procedures as the regular organization (Bushe and Shani, 1991).

The significance of having a parallel structure coexist with the traditional hierarchy is explained as follows:

The simultaneous availability and operation of parallel and bureaucratic structures provides a basis for the efficient operation of each because both are equally formal structures, able to carry out specialized functions directly (Stein and Kanter, 1980, p. 384-385).

Bushe and Shani (1991, p.10) describe the operations of a parallel organization as follows:

...a parallel learning structure consists of a steering committee that provides overall direction and authority and a number of small groups with norms and operating procedures that promote a climate conducive to innovation, learning, and group problem solving. Members of the parallel learning structure are also members of the formal organization, though with the parallel learning structure their relationships are not limited by the formal chain of command. Some parallel learning structures are set up on a temporary basis, while others are intended to be permanent.

According to the literature, the parallel organization and the hierarchy are linked by inputs and outputs (Zand, 1974.) The outputs (activities) of the parallel

organization provide inputs to the regular organization. The literature implies that the activities of the parallel organization should be aligned with the goals of the regular organization. The work of the parallel organization is carried over to the hierarchy by individuals who participate in both structures. The rationale is that individuals in the hierarchy will be more likely to support and implement the work of the parallel organization because they participate in both structures.

Because parallel structure members are also members of the formal organization, linkage between the two may not be as difficult to maintain. Yet, the policies, norms, and operating procedures of the parallel learning structure are different from those of the formal organization and promote learning and innovation (Bushe and Shani, 1991, p. 31).

The literature suggests that a parallel organization can be used to achieve the following objectives: to involve diverse groups of people in problem-solving; to develop new channels and patterns of communication; to encourage creative and innovative thinking; to facilitate both individual and organizational learning; to strengthen employee relations and participation; to redesign the formal organization; to develop opportunities for cross functional collaboration; and to adapt to change (Zand, 1974; Galbraith, et. al, 1993; Stein and Kanter, 1980).

The literature reveals that the purpose and objectives of parallel structures tend to vary according to organizational needs; hence they may be temporary or permanent. It is interesting to note that in the limited research concerning the use of parallel structures, there are different perspectives among the authors concerning the design and implementation of the intervention. For example, Zand (1974) and Stein and

Kanter (1980) concur that the parallel structure has an independent management structure; a steering committee and/or an advisory group. Galbraith et. al (1993) and Bushe and Shani (1991) suggest that the parallel structure does not have a separate management structure. They write that the parallel structure is similar in function to quality circles, task forces, and other problem-solving groups. This is contrary to the findings of the other authors. There are also differences in perceptions concerning whether a parallel structure is a formal or informal structure. Authors Stein and Kanter (1980) and Zand (1974) suggest that a parallel structure is a formal organization, while Bushe and Shani (1991) and Galbraith et. al (1993) imply that is an informal organization. The rationale that a parallel structure is a formal organization is premised on the notion that it is an officially recognized structure with a separate management structure, and it is linked to the performance goals of the regular organization. It should also be noted that the literature does not provide empirical data either confirming or refuting the effectiveness of parallel organizations. Nevertheless, the authors agree that a parallel organization has specific boundaries and tasks which distinguish it from the conventional hierarchy.

Critical Success Factors in Parallel Organizations

Successful parallel organizations are well-structured, with specific goals to be achieved, and integrated into the regular organization (Stein and Kanter, 1980; Bushe and Shanti, 1991; Galbraith, et. al, 1993). A review of management literature (Zand, 1974; Stein and Kanter, 1980; Mohrman and Mohrman 1993, Cohen, 1993;

Bushe and Shani, 1991) reveals that the following factors are necessary for successful parallel structures:

- ▼ Communication
- ▼ Clarity of purpose, roles, and expectations
- ▼ Training and education
- ▼ Group process and problem solving skills
- ▼ An introduction of the parallel organization to internal and external customers
- ▼ Integration and cross functional collaboration between organizational units
- ▼ Resources to support systemic changes
- ▼ Accountability

Communication is a critical component for the success of a parallel organization. The rationale is that there must be an open exchange of information and dialogue among members of the regular and parallel organizations. Effective communication keeps the participants informed about issues affecting the larger organization and helps them understand what they are expected to accomplish in the parallel organization (Cohen, 1993; Bushe and Shani, 1991).

Clarity of purpose, roles, and expectations are identified as necessary factors for the success of parallel organizations. Mohrman and Mohrman (1993) suggest that without clear direction and a shared understanding of roles and expectations, a parallel organization is likely to be unsuccessful because participants will not understand

what they are expected to do, how they are to do it, and why. Subsequently, participants may become confused, frustrated, or disinterested.

Training and education provide the foundation for a successful parallel organization structure. Bushe and Shani (1991) cite a need for participants to be trained in group processes, process and statistical analysis, and problem solving.

Another success factor for parallel structures involves group process skills and an understanding of the importance of cross functional collaboration and integration (Bushe and Shani, 1991). These concepts are inherent in what Osborne and Plastrik (1997) identified as banishing bureaucracy. Without proper training and education, the literature implies that individuals may have difficulty working with individuals from different areas of the organization, functioning as productive group members, helping to achieve group objectives, and understanding improvement and change processes. This is particularly important when considering the integration of activities between the parallel and regular organizations:

The integration process refers to the collective attempt to construct shared meaning out of the data. The parallel structure brings together individuals with different personal objectives, methods of inquiry, perceptions, and frames of reference. Working toward the integration of this diversity is the most powerful force for creativity and the emergence of new ideas. It requires suspending preconceived and well-indoctrinated categories and beliefs. Everything must be up for question and possible disconfirmation (Bushe and Shani, 1991, p. 56).

In addition to training participants in the parallel structure, Zand (1974) and Stein and Kanter (1980) indicate that an orientation or introduction is needed for

other members of the organization, as well as external customers. The purpose of such an orientation is to inform individuals about the use of a parallel organization and how it compliments the regular organization by offering new opportunities for service/product improvements. Cohen (1993) and Bushe and Shani (1991) suggest that without a broad scale orientation or introduction in the organization, turf issues may impede the success of a parallel structure. For example, the work of the parallel organization may encounter resistance from the owners of the processes targeted for improvement (Galbraith et. al, 1994).

An effective parallel organization must also have adequate resources to support improvement processes and the implementation of change: "The processes of learning, innovation, and improvement must be seen as core organizational processes and should be supported as such" (Galbraith, 1994, p. 97). It is further noted that competition with the regular organization for resources may hinder the effectiveness of a parallel organization:

Parallel structures are frequently seen as 'extra', and the regular organization is often resistant both to redeploying resources to support their activities and to implementing the changes that result from their problem solving (Galbraith et. al, 1994, p. 95).

Along with the resources to support systemic changes, several authors (Stein and Kanter, 1980; Bushe and Shani, 1991; Cohen, 1993) suggest that accountability is needed to ensure the success of a parallel organization. Accountability is established by linking individual and organizational performance to specific goals

and/or objectives in both the regular and parallel organizations. The need for accountability is further explained as follows:

The new roles of individuals in problem solving and in sponsoring, championing, and managing change must be supported by incentives, goal setting, appraisal, and other human resource practices that shape such behavior (Galbraith, et. al, 1994, p. 96).

The Impact of the Parallel Organization on Employees

The literature (Zand, 1974; Stein and Kanter, 1980; Bushe and Shani, 1991; Galbraith et. al, 1993) suggests that implementation of a parallel organization is designed to involve, engage, empower, and challenge organizational members. If properly designed and implemented, the parallel organization can impact employees as follows:

- ▼ Strengthen job competencies and skills
- ▼ Develop new skills, competencies, and career interests
- ▼ Provide challenging new assignments and tasks
- ▼ Increase awareness and understanding of the issues affecting the larger organization
- ▼ Develop new and supportive patterns of relationships
- ▼ Create an environment conducive to both personal and professional growth and development
- ▼ Challenge existing assumptions and work processes
- ▼ Enable them to participate in processes which affect their jobs, as well as the larger organization

- ▼ Empower them to work in cross functional and departmental teams
- ▼ Involve them in shaping the vision, values, and goals of the organization
- ▼ Remove bureaucratic barriers to problem-solving and communications

The impact of a parallel organization on employees can be summarized as providing a place in organizations where supportive groups and relationships can be formed to generate conditions conducive to employee motivation, individual and organizational learning, and personal and professional growth (Bushe and Shani, 1991; Galbraith, et. al, 1993).

Leadership in the Parallel Organization

Several authors (Zand, 1974; Stein and Kanter, 1980; Bushe and Shani, 1991; Galbraith, et. al, 1993) believe that a parallel organization cannot be effective without energy, guidance, and commitment from the executive team. The work of leadership in the parallel organization is specifically defined as providing the vision, direction, and resources necessary to support the intervention. According to Bushe and Shani (1991), the parallel organization is a strategic intervention, requiring visionary leadership to create compelling reasons for change and the structure and systems necessary to support the change. Mohrman and Mohrman (1993, p. 101) describe visionary or change leadership as:

...being a continual catalyst for the change process by formulating and updating a compelling change agenda,

helping the organization envision the future, unleashing energy and resources to fuel the change process, and helping the organization experience change as success rather than failure.

The work of leadership is implemented in the parallel organization through the use of steering committees, advisory groups, and measures of accountability. For example, the literature suggests that the steering committee should consist of senior members with the clout to implement the changes recommended by the parallel structures (Bushe and Shani, 1991; Stein and Kanter, 1980). It also suggests that committee members should represent various functions within the organization. The steering committee manages the activities of the parallel organization; data collection and analysis, problem-solving, strategy development, etc.

Stein and Kanter (1980, p. 376) cite the need for an advisory group that creates the support systems necessary for the successful implementation of a parallel organization. They suggest that an advisory group comprised of senior staff provides formal support and power for the activities of the parallel organization:

The advisory group also supplies knowledgeable counsel for decisions needed for implementation, authority for employee participation, sources of recognition and reward, and high level linkages to prevent parallel activities from being unconnected to the regular organization.

Bushe and Shani (1991) note that the challenge for organizational leadership in developing and maintaining effective parallel structures is two-fold. First, it has to learn how to create and foster integration between the parallel and traditional organization.

Second, it has to learn how to maintain innovation and momentum in the parallel organization.

According to the literature (Bushe and Shani, 1991; Cohen, 1993; Mohrman and Mohrman, 1993), the work of leadership in the parallel organization is to provide the vision, values, structures, and systems necessary to create an environment of stewardship and integration; to facilitate learning, thinking, and change; and to enable employees to participate in meaningful work experiences and organizational processes. Lawler (1992, p.281) explains how the work of leadership should impact both employees and organizations:

If senior managers perform their work effectively, certain behaviors should be easy to observe throughout the organization. Individuals at all levels should take responsibility for the organization's effectiveness and make a strong commitment to the organizations's long-term performance. In the absence of effective behavior by senior managers, this type of organization-wide commitment is heard, if not impossible, to generate. In a very direct sense, the effectiveness of senior managers is ultimately visible in the behavior of the organization.

The Work of Leadership in the Mid-Atlantic City's HPO Model

Consistent with current literature (Weisbord, 1987; Hesselbein, et. al, 1996; Lawler, et. al, 1995; Popovich, 1998), the HPO model in the mid-Atlantic city suggests that participative leadership is a fundamental component of high performance work systems. The work of leadership should therefore result in a more participative and less bureaucratic organization.

The parallel organization is operationally defined as a collection of leadership teams in the mid-Atlantic city. The purpose of the parallel organization is of conduct the work of leadership as it is defined in the mid-Atlantic city's HPO model. The work of leadership consists of the following five functions:

- ▼ Strategic customer value analysis
- ▼ Creating a shared vision and values
- ▼ Integration and stewardship
- ▼ Learning, thinking, renewing, and changing
- ▼ Empowering, enabling, and motivating employees

The first function of leadership is strategic customer value analysis which focuses on customer needs and expectations as determined by market analysis, political analysis, environmental scanning, etc. This function is externally focused; it does not focus on employees. Therefore it is not examined in this study.

The second function of leadership in Norfolk's HPO model is to create a shared vision and values among employees and to develop the appropriate strategy, structure, and systems to support the vision. The importance of a shared vision and values and supportive systems appears in management literature as early as beginning of the century when Mary Parker Follet wrote about principles of integrative unity and collective responsibility (Wren, 1987). She noted that leadership has a responsibility for creating an environment of shared responsibilities and oneness among employees. Contemporary authors such as Ken Blanchard have written that one group cannot develop the vision and values, while another group implements them; everyone must have input

and ownership of them (1996). Peter Senge's concept of the learning organization is also premised on the importance of shared values in order to challenge mental models and to foster more systemic thinking (1990).

The third function of leadership is integration and stewardship. Peter Block (1993) addresses the third function of leadership in his book entitled *Stewardship: Choosing Service Over Self Interest*. Integration and stewardship, according to Norfolk's HPO model, means understanding the big picture by de-emphasizing self-interest and working to provide service for the good of the larger organization. It involves leadership sharing and connecting with other people and units in the organization to address strategic issues. This concept is also what Mary Parker Follet referred to as democracy in the workplace (1918).

The fourth function is to create a learning organization by emphasizing change and innovation through organizational and individual learning. Senge (1990, p. 3) suggests that "a learning organization is a place where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning how to learn together." Senge believes leadership is responsible for learning.

The fifth function of leadership is to motivate employees, treat them with dignity and respect, and give them ownership of decisions relating to their work (Likert, 1967; Champy, 1995). Weisbord (1987, p. 311) explains the importance of empowerment:

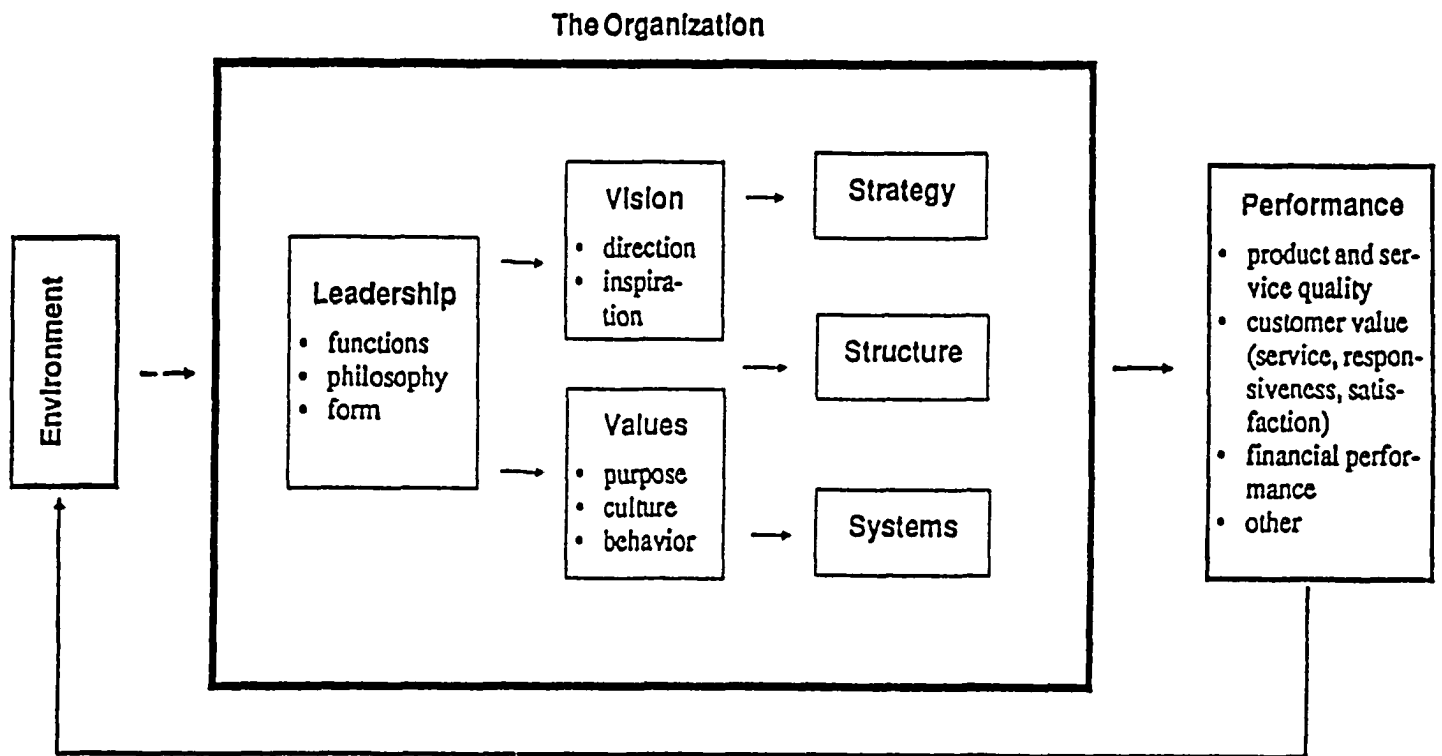
The quickest way to increase dignity, meaning, and community in a workplace is to involve people in redesigning their own work. That is also the shortest route--in the long run--to lower costs, higher quality, and more satisfied customers.

These five functions of leadership are among the attributes of innovative and successful organizations as described by Peters and Waterman (1982) and Hesselbein, et. al (1996). According to both current literature and the mid-Atlantic city's HPO model, the work of leadership can be summarized as creating opportunities and productive work environments, unleashing and developing potential, removing obstacles, encouraging growth, and providing guidance (Shafritz and Ott, 1991). A review of the literature suggests that leadership has a critical role in making things happen in organizations (Barnard, 1938). Leadership provides focus, guidance, and support to the people doing the work in organizations (Heifetz and Laurie, 1997). Steven Covey (1989) categorizes the work of leadership in four quadrants, with each quadrant representing the importance of work according to time constraints. For example, QI work is considered important and urgent, whereas QII work is important but not urgent. In the mid-Atlantic city's HPO model, QI work occurs within the hierarchy, while QII work is handled within the parallel organization. Work such as visioning and strategic thinking in the parallel organization, for example, is considered important but not urgent.

Figure 1 demonstrates how the work of leadership influences organizational performance in the mid-Atlantic city's HPO model.

Figure 1

Factors Determining Organizational Performance



The work of leadership in the mid-Atlantic city's HPO model is premised on McGregor's Theory Y (1960) and Likert's System Four leadership (1961). Theory Y suggests that employees are trustworthy and valued members of the organization, who come to work to do a good job. Theory Y leaders (McGregor, 1960) treat employees with dignity, trust, and respect. Likert's (1961) System Four leadership theory supports and extends the work of McGregor. "Keying on leadership, he made McGregor's Theory Y assumptions into a comprehensive organization development and information system" (Weisbord, 1987, p. 193). System Four is part of a theoretical scale of leadership styles, including autocratic, autocratic benevolent, consultative, and participatory. According to management literature, System Four is the ideal type of leadership for achieving high performance (Wren, 1987). The theory suggests that high performance results from participative leadership which is defined as supportive, group-centered, and collaborative in goal setting and decision making (Ivancevich and Matteson, 1993).

If Theory Y and the System Four theory are confirmed, then the work of leadership conducted in the parallel organization should result in participative leadership. In other words, if the work of leadership conducted in the parallel organization is participative, then the parallel teams should result in employee perceptions of supportive, group-centered, and collaborative leadership. This study will reveal the extent to which the parallel organization results in employee perceptions of participative leadership.

The research hypothesis is that the work of leadership conducted in a parallel organization results in employee perceptions of participative leadership. If the research hypothesis is confirmed, parallel leadership teams performing the work of leadership will result in employees understanding the vision and values of the organization; feeling a sense of ownership, commitment, and collaboration in the larger organization; learning and growing in their positions and the organization; and contributing to decisions and activities affecting their work. In other words, employees will feel that leadership is supportive and collaborative in providing opportunities for them to participate in issues and activities affecting the organization and how they work.

Conclusion

This literature review suggests that leadership is the most critical and fundamental conduit for transforming the traditional bureaucratic organization into the organization of the future. The challenges confronting today's leaders involves learning how to lead organizations that create and nurture knowledge (Drucker et. al, 1997; Kotter, 1996; Hesselbein, et. al, 1996). The literature implies that as organizations continue to evolve and adapt to changing environments, the use of parallel structures will become more prevalent. Management scholars (Hesselbein, et. al, 1996, 1997) concur that systems of organization must be developed that foster consultative and participative work environments. The literature (Stein and Kanter, 1980; Bushe and Shani, 1991) further suggests that participative leadership is fundamental to the success of the parallel organization.

According to the mid-Atlantic city's HPO model, the parallel organization should lead to participative leadership in the hierarchy, because in conducting the work of leadership parallel teams create an environment for individuals at all levels of the organization to be involved in processes which determine how work is performed.

CHAPTER III

This study examines a parallel organization model to create a high performance organization (HPO) in a mid-Atlantic city. The research question is to what extent does the work of leadership in the parallel organization result in employee perceptions of participative leadership? The research hypothesis is that the work of leadership in the parallel organization results in employee perceptions of participative leadership.

A comparison design has been used to compare employee perceptions of leadership in departments/offices which have active leadership teams with employee perceptions of leadership in departments which do not have active leadership teams. Three comparison groups were used in conducting this study. Group A has had parallel leadership teams for two years or more. Group B has had teams for one year or less. Group C does not have teams. Additional comparisons were made to examine differences between leadership team members and non-leadership team members in the groups which have parallel teams; Groups A and B.

If the work of leadership in the parallel organization has resulted in participative leadership, the following results would be expected:

- ▼ There would be greater differences among the comparison groups because the groups have had parallel teams for varying lengths of time. Group A would have a higher percentage of almost always true and mostly true responses than Groups B and C. Likewise, Group B would have a higher percentage of almost always true and mostly true responses than Group C. Since Group C doesn't have a parallel leadership team responsible for conducting the work of leadership, it was expected that Group C would have a lower percentage of almost always and mostly true responses than the Groups A and B.

- ▼ There would be fewer differences between non-leadership team members and leadership team members in each of the groups which have parallel teams; Groups A and B. The rationale is that if the work of leadership teams is participative, then non-leadership team members and leadership team members would have similar experiences and perceptions.
- ▼ There would be greater differences between non-leadership team members in comparison groups A and B. Non-leadership team members in Group A would have a significantly higher percentage of almost always and mostly true survey responses because it has been they have been exposed to parallel teams longer than their colleagues in Group B.
- ▼ There would have been greater differences between leadership team members in comparison groups A and B. Again, the observed differences would have resulted from one group being involved in parallel teams longer than the other.

Data Collection

A survey has been used as the primary tool for data collection because it was cost effective and relatively easy to administer with the assistance of participating city departments and offices. It also enabled the researcher to reach large and diverse groups of individuals in a short amount of time. "Survey research is probably the best method available to the social scientist interested in collecting original data for describing a population too large to observe directly" (Rubin and Babble, 1997, p. 346). Survey research is intended to contribute to theory development. It can be used for both exploratory and explanatory purposes. It is most useful in studies which are concerned with measuring perceptions or attitudes of individuals (Rubin and Babble, 1997). The advantages of survey research can be summarized as follows (Rubin and Babble, 1997; O'Sullivan and Rassel, 1986; Bailey, 1982):

- ▼ Offers a convenient, economical, and practical research

- ▼ Provides a standardization data collection instrument
- ▼ Enables the researcher to collect information concerning multiple variables at one time
- ▼ Promotes cooperation among participants in the study
- ▼ Permits confirmatory follow up research using a standardized data collection instrument
- ▼ Provides the researcher with flexibility in data collection
- ▼ Enables the researcher to collect data from the social setting in which phenomena occurs

The primary disadvantage of survey research is that it limits the researcher's ability to make causal inferences. "Survey research is generally weak on validity and strong on reliability" (Rubin and Babble, 1997, p. 364). Limited types of data can be collected using survey research. "Surveys cannot measure social action; they can only collect self-reports of recalled past action or proposed or hypothetical action" (Rubin and Babble, 1997, p. 364). Campbell and Stanley (1963) suggest that survey research designs can be enhanced by the use of panel interviews; conducted after an initial survey and involving many of the same participants. Triangulation which involves the use of multiple research methods also provides a means of validating survey data and enhancing confidence in the findings (Rubin and Babble, 1997; Bailey, 1982; Campbell and Stanley, 1963).

Survey research has been used in this study because the research objective is concerned with employee perceptions of participative leadership. The survey provided

a convenient means of collecting data from large samples at the same time and place in most instances.

Several efforts have been taken to address issues concerning validity. Face validity was assessed through the administration of a pilot survey. The data from the pilot survey was used to remove items which were consistently left unanswered or questioned. Face validity is concerned with whether or not the survey variables are easy to understand. It is also concerned with whether or not the information being collected is relevant to the concept being studied.

Content validity was tested through the pilot survey, a review of relevant literature, and correlational analysis. Content validity is concerned with the extent to which a measure represents a specific concept.

Carmines and Zeller (1979) write that there is no agreed upon criteria or rigorous techniques for determining the content validity of a survey variable. The literature suggests that face and content validity are both based on subjective assessments made by the researcher or other subject matter experts (Rubin and Babble, 1997; Carmines and Zeller, 1979). Rubin and Babble (1997) write that issues concerning survey validity can be resolved through logical reasoning and replication: "Replication can be a general solution to problems of validity in social research" (p. 447).

In this study, reliability has been established through the use of a consistent survey instrument among each of the comparison groups. Reliability has also been assessed through the administration of a pilot survey.

Population and Sample

Purposeful sampling has been used to identify city departments for participation in this study. Purposeful sampling is an exploratory technique which enables the researcher to use his or her knowledge and judgment in selecting cases for observation (Bailey, 1982; O'Sullivan and Rassel, 1989). It is less costly than random sampling, however it is weak in external validity; the researcher cannot generalize findings from a sample to the population. Purposeful sampling, however, gives the researcher greater flexibility in selecting samples based on factors which are most critical to the study and on his/her knowledge of the phenomena being studied (Rubin and Babble, 1997). It also enables the researcher to make in-depth observations concerning issues of importance to the study, population/sample characteristics, and other factors of interest.

Each department in the mid-Atlantic city is expected to have a leadership team responsible for performing the work of leadership as defined in the HPO model. However, city departments have had varying degrees of success in developing, maintaining, and implementing active leadership teams.

Three independent comparison groups have been used in this study. Group A consists of employees representing city departments or offices which have active leadership teams. An active leadership team is a team which has been in existence for at least two years and meets at least once a month. Comparison Group B consists of employees representing city departments or offices which have leadership teams which have been in existence for one year or less.

Participants in comparison Groups A and B were selected using purposeful sampling. This technique involves selecting a sample of observation that the researcher believes will yield the most comprehensive understanding of the subject of study, based on the researcher's knowledge and the purpose of the study (Babbie, 1997).

Comparison Group C consists of employees representing city departments or offices which do not have active leadership teams. These employees have been selected from a list of individuals who have completed one or both of the city's HPO training modules which include a continuous and quality improvement seminar and situational leadership training.

Instrumentation

The purpose of this study is to determine the extent to which the work of leadership in the parallel organization results in employee perceptions of participative leadership: supportive, group-centered, and collaborative activities which involve employees in processes which affect them and their work (Likert, 1961 and 1967; Bennis, 1991; and Ivancevich and Matteson, 1993). The research hypothesis is that the work of leadership performed in the parallel organization results in employee perceptions of participative leadership.

The survey used in this study consists of five sections: Vision and Values; Integration and Stewardship; Learning, Thinking, Changing and Renewing; and Enabling, Empowering, and Energizing employees. Each section of the survey has been designed

to provide the data necessary to determine the extent to which the parallel organization results in employee perceptions of participative leadership.

In sections one through four of the survey, participants are asked to respond to statements using the following scale: almost always true, mostly true, sometimes true, rarely true, and almost never true. A no response option was not included in the survey scale. "A good reason for excluding nonresponse is that it is not a meaningful substantive category of the variable being analyzed..." (Bailey, 1982, p. 393).

Each of the statements in the survey are intended to measure perceptions of how well departments are doing in carrying out each of the four functions of leadership examined in this study. Each statement represents the desired leadership outcomes associated with a particular leadership function in the mid-Atlantic city's HPO model. These outcomes are substantiated in the literature review presented in this study.

Section one of the survey is concerned with vision and values. This leadership function involves creating a shared vision and values among employees and developing the appropriate systems, structures, and strategies to achieve the vision. The importance of a shared vision and values coupled with the alignment of appropriate systems is that it helps to achieve employee ownership and commitment to the organization. Survey questions in this section are concerned with the extent to which individuals understand their department's plans for the future and the types of behaviors that are needed in order to achieve those plans. For example, two of the statements survey participants are asked to consider in section one are as follows: The vision and values of my department are

frequently shared and discussed with employees; I understand how my work relates to the vision of our department.

Section two addresses integration and stewardship. This leadership function refers to an individual's ability to look beyond self-interest to provide service to others and the larger organization. It encourages individuals to look beyond issues which pertain to their jobs and their areas of work to understand what is happening with their peers in others jobs and/or other areas of the department. The importance of integration and stewardship is that it challenges individuals to focus on how their work fits into the larger organization and to take collective responsibility for issues which may affect it. This section of the survey focuses on the extent to which people in departments work together and with people in other areas of the city to complete tasks and to serve the needs of the public. Two statements that survey participants are asked to respond to in this section are as follows: People in our department are helpful to each other; Managers encourage cooperation and teamwork.

Section three of the survey is concerned with learning, thinking, changing, and renewing. This leadership function is concerned with creating an environment conducive to innovation and change through both individual and organizational learning. This function requires leadership to create opportunities for growth and development; to challenge mental models and encourage new ways of thinking; and to encourage change and innovation. The survey questions in this section seek to determine the extent to which individual departments provide opportunities for learning, growth, and the sharing and implementation of new ideas. The first statement survey participants are asked to

consider in section three is: Managers are open to new information and ideas. Another example of a statement in section three is: Employees are involved in changing and improving the way that work gets done in our department.

Section four focuses on enabling, empowering, and energizing employees. This function of leadership is concerned with motivating employees, treating them with dignity and respect, and giving them ownership of decisions relating to their work. The questions in this section of the survey are concerned with the extent to which departments provide a supportive environment which encourages everyone to do their best work. Examples of statements included in section four of the survey are "People in our department trust one another" and "My department rewards and celebrates good work among employees."

Section five of the survey provides an opportunity for participants to share additional comments and information about the work of leadership in their departments. The survey is provided in the Appendix I of this document.

Survey Administration

Surveys were administered to employees during all staff meetings or through interdepartmental mail. When possible, all employees in the participating departments have been surveyed. When it was not possible to survey all employees within a participating department due to time constraints, scheduling difficulties, etc., employees were randomly selected for participation in the survey. Surveys of employees

representing the control group, departments which do not have active leadership teams, were administered through the city's interdepartmental mail.

Control numbers were assigned to each survey administered in the interdepartmental mail in order to track the rate of return and to follow-up with individuals who did not return the surveys. In reporting survey responses, the identity of individuals has been protected. Survey results are being reported according to group responses and aggregate data. Table I illustrates the number of surveys distributed to each comparison group and the number of surveys returned.

Prior to data collection, several survey questions were piloted in a city department which was not included in this study. Surveys were administered to 70 employees in the pilot department. With 54 surveys returned, there was a 77 response rate. The purpose of the pilot was to determine whether or not the questions and the rating scale were easy to understand. The pilot was also intended to determine if the survey yields useful data in examining the effectiveness of parallel teams.

Piloting the survey among individuals who were not been included in the study helped to avoid sensitizing participant responses. In other words, participants did not have an opportunity to see the survey questions ahead of time; therefore, they did not have an opportunity to plan their responses.

Table 1

**The Work of Leadership Survey Response Rates
by Comparison Groups**

| Comparison Group | Surveys Distributed | Surveys Returned | Percent Returned |
|-------------------------|----------------------------|-------------------------|-------------------------|
| A | 853 | 672 | 79.0 |
| B | 75 | 72 | 97.0 |
| C | 62 | 38 | 61.0 |
| Total | 990 | 782 | 79.0 |

Data Analysis

The research hypothesis is that a parallel organization results in employee perceptions of participative leadership. A descriptive analysis of the survey responses from each comparison group represented in this study is reported.

Statistical tools have been used to analyze the following:

- ▼ Overall survey findings
- ▼ Differences among comparison Groups A, B, and C
- ▼ Differences between non-leadership team members and leadership team members
- ▼ Differences between leadership team members in Groups A and B
- ▼ Differences between non-leadership team members in Groups A and B
- ▼ Correlation among the variables within each function of leadership

Table 2 presents the statistical tools used in analyzing the survey data.

Table 2**Statistical Tools Used in Data Analysis**

| Statistical Tool | Function |
|-------------------------|--------------------------------------------------------------------------------------------|
| Analysis of variance | Test difference of means for three or more samples |
| Correlational analysis | Degree of association between variables |
| Chi-square | Test of statistical significance between two or more samples using frequency distributions |
| Cramer's V | Measure of association between nominal data |
| Factor analysis | Data reduction and data validation |
| T-Test | Test difference of means between two groups |
| Tau-b | Measure of association between ordinal data |

Strengths and Limitations of the Study

This study is concerned with the extent to which parallel leadership teams in the mid-Atlantic city have resulted in employee perceptions of participative leadership. This study has two strengths: a comparison design and a 79% percent response rate to the Work of Leadership survey. This research design was necessary for testing the parallel organization theory and examining differences in employee perceptions among the three comparison groups. It also provided an opportunity for examining how differences among the three comparison groups may have influenced their survey responses. A

survey response rate of more than 70% is considered very good for data analysis and reporting purposes (Rubin and Babble, 1997).

The absence of pre-intervention data and the inability to use an experimental design makes it difficult to determine the impact of the work of leadership in the parallel organization on employees. The inability to control the implementation of the parallel organization in order to assure consistent practices is another weakness in this study.

This study cannot be generalized to other organizations. However, its findings yield helpful insights concerning the use of parallel organizations. This study may be helpful to organizations which are seeking innovative, flexible, and collaborative processes for improving their effectiveness, operational efficiencies, and the value of services provided to customers.

CHAPTER FOUR

The purpose of this study was to determine the extent to which the work of leadership conducted in the parallel organization results in participative leadership. The research hypothesis is that the work of leadership performed in the parallel organization results in employee perceptions of participative leadership. The purpose of the parallel organization is to conduct the work of leadership which consists of the following functions: customer value analysis; creating a shared vision and values; integration and stewardship; creating an environment conducive to learning, thinking, changing, and renewing; and enabling, empowering, and energizing employees. The parallel organization is a flexible, learning structure which has been created for the purpose of developing and demonstrating new values and behaviors, while increasing employee and customer participation in organizational processes. According to the HPO model in the mid-Atlantic City examined in this study, the parallel organization should lead to participative leadership in the hierarchy because in conducting the work of leadership, individuals at all levels of the organization are involved in processes which determine how work is performed.

Three comparison groups were used in conducting this study. Comparison Group A consisted of city departments which have had parallel leadership teams for two or more years. Group B consisted of city departments which have had parallel leadership teams for one year or less. Group C consisted of city departments which do not have parallel leadership teams. The comparison groups were used to determine the extent to which

the work of leadership in the parallel organization results in participative leadership in departments with parallel teams as compared with departments without parallel teams. In comparison Groups A and B, data were collected from non-leadership team members and leadership team members. The purpose of this distinction was to determine various perceptions of the work of leadership among those involved in the parallel organization versus those who are impacted by it.

Purposeful sampling was used in selecting the comparison groups used in this study. It is a sampling technique which enables the researcher to select cases for observation based on his/her knowledge of the phenomena being observed.

This chapter presents an analysis of the 782 surveys received in conducting this study. The survey included 33 items which were organized according to the four functions of leadership examined in this study: vision and values; stewardship and integration; learning, thinking, changing, and renewing; and enabling, empowering, and energizing employees. In responding to the survey, participants were asked to use the following scale: almost always true, mostly true, sometimes true, rarely true, and almost never true.

Bivariate correlational analysis was used to identify associations between variables in each section of the Work of Leadership survey. The data indicate that there is association between the survey variables. However, in some instances the association is weak with a correlation of .4 or below.

The frequency distribution of survey data was examined in order to summarize overall survey responses. Crosstabulations of survey responses and the Chi-Square test

of statistical significance were used in analyzing differences between 1) the comparison groups and 2) non-leadership team members and leadership team members.

Factor analysis was used for purposes of data reduction and data validation. Factor analysis was used to identify relationships among the survey variables and to further examine statistically significant differences between the comparison groups and between non-leadership team members and leadership team members. Data tables representing survey responses for each comparison group and for non-leadership team members and leadership team members are included in the appendices of this document.

The research question addressed in this chapter is to what extent does the work of leadership in the parallel organization result in employee perceptions of participative leadership in the hierarchy?

Analysis of Overall Survey Findings

According to survey responses, there is a gap between what is valued and encouraged in the parallel organization as described in the mid-Atlantic city's HPO model and what is practiced in the hierarchy. This gap is important for several reasons. Parallel leadership teams have been created in the mid-Atlantic city to perform the work of leadership. The parallel leadership teams are intended to work in tandem with the hierarchy; in most instances, membership includes representation from various levels of organizational units. The rationale is that by involving members of the hierarchy in the work of leadership in the parallel organization, they will be more likely to practice consultative and participative leadership in getting work done in the hierarchy. The gap

between the intended outcomes of the parallel organization and employee perceptions of leadership practices reveals that parallel leadership teams have had a limited impact on employee perceptions of leadership. Survey responses also imply that parallel leadership teams have had limited success in facilitating participative leadership styles.

For the purposes of this study, 60 percent almost always true and mostly true responses is the benchmark for determining the extent to which parallel teams have resulted in employee perceptions of participative leadership. This benchmark has been created by the researcher solely for the descriptive purpose of organizing and examining patterns in the overall survey findings. A mathematical or statistical formula has not been used in creating the 60% benchmark. "Certain statistical procedures may be essential in order to provide the best possible interpretation of the data, but no mathematical formula or computer will obviate the need to make some judgments about the findings" (Rubin and Babble, 1997, p. 93). The 60% benchmark has been created using the researcher's judgment concerning the phenomena being studied in the mid-Atlantic city. The rationale is that if parallel teams have been effective in conducting the work of leadership, the highest percentage of responses would be almost always true and mostly true. In creating the 60% benchmark, the response categories of almost always true and mostly true have been collapsed. Collapsing response categories is often performed as a means of managing and presenting survey data. "One way to simplify the interpretation of data is to collapse response categories" (Rubin and Babble, 1997, p. 473).

Overall, survey responses suggest that the mid-Atlantic city has done well in making sure that employees understand how they fit into the vision and values of their department. Likewise, managers and supervisors tend to model the behaviors they expect from others. According to survey participants, the mid-Atlantic city does well in encouraging cooperation and helpfulness in the work place.

The following survey items had 60% or more almost always true and mostly true survey responses:

- ▼ Employees understand how their work relates to the vision and values of their department.
- ▼ Employees understand that they must work according to the values of their department.
- ▼ Employees are held responsible for their actions when they do not work according to the values of their department.
- ▼ People are helpful to one another.
- ▼ Employees are willing to pitch in wherever their help is needed in the department.
- ▼ Managers and supervisors encourage cooperation and teamwork.
- ▼ Managers and supervisors have confidence in the work of employees.
- ▼ Managers and supervisors encourage honesty and openness.
- ▼ Employees are encouraged to do things on their own without having to wait for instructions from supervisors.

Survey responses indicate that even though parallel leadership teams encourage cooperation and teamwork, new information and ideas, and employee participation in decisions affecting their jobs, the recognition and celebration of good work among

employees is limited. A summary of overall survey data by leadership function is provided in Appendix III.

Vision and Values

Creating a shared vision and values is defined as a function of leadership in the mid-Atlantic city. This section of the leadership survey focused on the extent to which individuals understand the vision and values of their department. Survey questions focused on whether or not individuals understand their department's plans for the future and the types of behaviors necessary for achieving that future. Survey respondents reported 60% or more almost always true and mostly true responses to four out of eight survey items in this section. Table 3 presents the frequency distribution of survey responses concerning vision and values.

Sixty percent or more of the survey respondents report that it is almost always true or mostly true that:

- ▼ Understand how their work relates to the vision of their department
- ▼ They must work according to the values of their department
- ▼ They are held responsible for their actions when they don't work according to the values
- ▼ Supervisors keep them informed about things they need to know

Integration and Stewardship

Integration and stewardship is the second function of leadership tested in this study. This section of the survey focused on the extent to which people in the department work together and with people in other areas of city service in getting work done. Table 4 presents the frequency distribution of survey responses concerning integration and stewardship. Sixty percent or more of the survey respondents reported almost always true and mostly true responses to five out of eight survey items in this section. Survey respondents perceive that:

- ▼ People in departments are helpful to one another
- ▼ They are willing to pitch in wherever their help is needed
- ▼ Managers and supervisors encourage cooperation and teamwork
- ▼ Supervisors respect and treat people fairly

It is interesting to note, however, that survey respondents reported that opportunities for working collaboratively are limited. For example, 36% of the respondents said it is almost always true or mostly true that they have an opportunity to work on teams with people who work in other areas of the department. Approximately 22% of the respondents said it almost always true or mostly true that they get to work on teams with people in who work in other departments.

Table 3**Vision and Values**

| Survey Item | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------|-----------------------------------|------------------------|---------------------------|------------------------|----------------------------------|
| The vision and values of my department are frequently shared with employees. | 16.8% | 32.4% | 32.1% | 11.8% | 6.8% |
| I understand how my work relates to the vision of our department. | 35.91 | 38.6% | 16.0% | 7.2% | 2.3% |
| I understand that I must work according to the values of our department. | 54.5% | 32.6% | 8.3% | 3.3% | 1.3% |
| When I do not work according to the values of my department, I am held responsible for my actions. | 49.0% | 30.8% | 11.8% | 5.7% | 2.6% |
| Managers keep employees informed about things they need to know. | 22.3% | 34.2% | 27.5% | 10.2% | 5.8% |
| Supervisors keep employees informed about things they need to know. | 26.4% | 37.3% | 24.4% | 8.1% | 3.8% |
| Managers practice what they expect of others. | 18.6% | 36.1% | 27.1% | 11.6% | 6.6% |
| Supervisors practice what they expect of others. | 21.2% | 36.4% | 28.3% | 8.7% | 5.4% |

Table 4**Integration and Stewardship**

| Survey Item | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|---------------------------------------------------------------------------------------------------|---------------------------|--------------------|-----------------------|--------------------|--------------------------|
| People in our department are helpful to one another. | 29.1% | 39.1% | 22.3% | 6.9% | 2.6% |
| I sometimes get to work in groups or teams with people who work in other areas of the department. | 14.3% | 21.3% | 34.3% | 17.7% | 12.4% |
| I sometimes get to work on teams with city employees who work in other departments. | 8.4% | 13.1% | 25.5% | 25.2% | 27.9% |
| I am willing to pitch in wherever my help is needed in the department. | 62.3% | 28.9% | 6.4% | 2.1% | .4% |
| Managers encourage cooperation and teamwork. | 35.5% | 35.4% | 18.2% | 7.8% | 3.0% |
| Supervisors encourage cooperation and teamwork. | 37.2% | 34.3% | 18.1% | 5.8% | 4.5% |
| Managers respect and treat people fairly. | 22.7% | 37.2% | 25.8% | 8.6% | 5.7% |
| Supervisors respect and treat people fairly. | 24.3% | 39.4% | 24.6% | 6.6% | 5.1% |

Learning, Thinking, Changing, and Renewing

Another function of leadership involves learning, thinking, changing, and renewing. This section of the survey was concerned with the extent to which a department provides opportunities for learning, growth, and the sharing and implementation of new ideas. Table 5 shows the frequency distribution of survey responses concerning learning, thinking, changing, and renewing. None of the survey items in this section received 60% almost always true and mostly true responses. The survey responses indicate that this was the weakest area of activity among the four functions of leadership examined in this study.

Enabling, Empowering, and Energizing Employees

The mid-Atlantic city defines enabling, empowering and energizing employees as a function of leadership. This section of the leadership survey focused on the extent to which a department provides a supportive environment which encourages everyone to do their best work. The frequency distribution of survey responses concerning enabling, empowering, and energizing employees is presented in Table 6.

Sixty percent or more of the survey respondents reported almost always true and mostly true responses to five out of eight survey items in this section. Survey respondents perceive that managers and supervisors have confidence in the work of employees, and they encourage honesty and openness in their departments. Survey

respondents said it is almost always true or mostly true that employees are encouraged to do things on their own without having to wait for instructions from supervisors.

Table 5**Learning, Thinking, Changing, and Renewing**

| Survey Item | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|--------------------|-----------------------|--------------------|--------------------------|
| Managers are open to new information and ideas. | 23.5% | 34.6% | 27.1% | 10.1% | 4.8% |
| Supervisors are open to new information and ideas. | 24.1% | 37.4% | 28.2% | 6.7% | 3.7% |
| Ideas and suggestions from employees are used in making decisions in our department. | 12.6% | 26.4% | 41.1% | 13.2% | 6.8% |
| Managers help employees understand their strengths and weaknesses in an honest, helpful way. | 14.4% | 29.4% | 34.7% | 13.7% | 7.8% |
| Supervisors help employees understand their strengths ... | 17.0% | 35.2% | 31.8% | 8.2% | 7.8% |
| Managers help to prepare employees for the future by providing them with opportunities to learn new job techniques, develop new job skills, and handle greater responsibilities. | 20.3% | 28.5% | 30.7% | 12.6% | 7.8% |
| Supervisors help to prepare employees for the future ... | 19.8% | 34.8% | 28.8% | 9.4% | 7.1% |
| Employees who have attended workshops and training programs are given an opportunity to use what they have learned when they come back to the job. | 19.7% | 34.3% | 31.8% | 9.2% | 5.1% |
| Employees are involved in changing and improving the way that work gets done in our department. | 15.1% | 31.3% | 33.2% | 13.1% | 7.3% |

Table 6**Enabling, Empowering, and Energizing Employees**

| Survey Item | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|---------------------------------------------------------------------------------------------------------------------|-----------------------------------|------------------------|---------------------------|------------------------|----------------------------------|
| People in our department trust one another. | 12.0% | 30.8% | 32.3% | 14.3% | 10.6% |
| Managers have confidence in the work of employees. | 19.6% | 42.8% | 27.2% | 7.0% | 3.4% |
| Supervisors have confidence in the work of employees. | 23.3% | 45.8% | 22.8% | 5.7% | 2.3% |
| Managers encourage honesty and openness in our department. | 27.3% | 36.2% | 22.2% | 9.0% | 5.3% |
| Supervisors encourage honesty and openness in our department. | 28.1% | 37.5% | 22.4% | 6.6% | 5.4% |
| Employees can make decisions to change the way that work gets done in order to prevent problems. | 17.0% | 31.9% | 30.9% | 12.5% | 7.7% |
| Employees are encouraged to do things on their own without having to wait for instructions from supervisors. | 26.2% | 36.4% | 22.3% | 9.8% | 5.3% |
| Our department rewards and celebrates good work among employees. | 16.1% | 23.4% | 26.9% | 20.5% | 13.2% |

Factor Analysis of Overall Survey Data

Factor analysis has been used to examine the pattern of relationships among the survey data. Table 7 presents the results of the factor analysis. The results of factor analysis indicate that there 6 factors or underlying constructs which may explain the observed pattern of relationships among the 33 variables in the Work of Leadership survey. The data indicate that the six factors account for 68% of the variance in survey responses. The first factor was highly correlated at .7 or above with variables concerning the behavior of supervisors: supervisors practicing what they expect of others, encouraging cooperation and team work, and helping employees understand their strengths and weaknesses in an honest and helpful way. There were no survey variables which were highly correlated at .7 or above with the second factor. However, this factor had a .6 correlation with three variables concerning support from managers. The three variables involved managers practicing what they expect of others, respecting and treating people fairly, and helping employees understand their strengths and weaknesses in an honest and helpful way.

Two survey items in section four of the survey, which focused on enabling, empowering, and energizing employees, were highly correlated at .7 or above with the third factor. These survey items were concerned with employees having opportunities to make decisions about their work: employees can make decisions to change the way that work gets done, and employees are encouraged to do things on their own without having to wait for instructions from supervisors. There were no variables that were

Table 7**Factor Analysis of Overall Survey Responses**

| Factor | Label | % Variance Explained |
|--------------------------|-------------------------------------------------|-----------------------------|
| 1 | Support from supervisors. | 16.3 |
| 2 | Support from managers. | 14.9 |
| 3 | Employee decision making. | 13.3 |
| 4 | Relationships with others. | 8.3 |
| 5 | Living the vision and values of the department. | 8.2 |
| 6 | Teamwork. | 6.7 |
| | | |
| Total Variance Explained | | 67.8 |

highly correlated at .7 or above with the fourth factor. However, this factor had a .6 correlation with two variables which described perceptions of working relationships within departments. These variables involved people being helpful to one another and trusting each other.

The data indicate that three variables in the vision and values section of the survey were highly correlated at .7 or above with the fifth factor. These three variables involved employees understanding and being held responsible for working according to the values of their department.

The sixth factor was highly correlated at .7 or above with two variables concerning integration and stewardship, which was section two of the survey. Both variables involved team work.

The data indicate that two factors are highly correlated at .7 or above with each other. The data shows that there is a strong relationship between employee decision making (factor 3) and teamwork (factor 2).

Statistically Significant Differences Between Comparison Groups

Three comparison groups were used in the analysis of survey data. Comparison group A consisted of 672 non-leadership team members and leadership team members from participating city departments and offices which have had active leadership teams for two or more years. Leadership teams are parallel organizations which have been created to conduct the work of leadership in city departments and offices. Comparison group B consisted of 72 non-leadership team members and leadership team members from participating city departments and offices which have had active leadership teams for one year or less. Comparison group C consisted of 38 non-leadership team members from city departments and offices which either do not have leadership teams or do not have active leadership teams.

The statistically significant data in each area of the survey did not support the research expectations. Since Group A has had parallel leadership teams the longest, it has had more time to conduct the work of leadership. Therefore, it was expected that

Group A would have a higher percentage of almost always true and mostly true responses for most of the survey items. The differences between the comparison group responses were statistically significant for only five out of 33 items in the Work of Leadership Survey. While the survey data reveals few statistically significant differences between the comparison groups, the relationships between the variables are weak.

Two of the survey items concerning vision and values revealed statistically significant differences among Groups A, B, and C. These differences are presented in Table 8. When asked if the vision and values of their department are frequently shared and discussed with employees, nearly 78% of Group B responded almost always true, followed by Group C (47%) and Group A (46%). It should be noted that the differences between Groups A and C are minimal. The responses for Group B exceeded the 60% benchmark of almost always and mostly true, while the responses for Groups A and C did not meet the benchmark. When asked if they are held responsible for their actions when they do not work according to the values, 81% of Group A reported almost always true or mostly true, while 68% of Group B and 83% of Group C reported the same. Group C which does not have parallel leadership teams reported about the same percentage of almost always true and mostly true survey responses than Group A, which has had leadership teams for two or more years.

Two survey items concerning integration and stewardship revealed statistically significant differences among the comparison groups. These differences are presented in Table 9. Nineteen percent of Group A reported that it is almost always true or mostly true that they have an opportunity to work on teams with city employees who work in

other departments, while 37% of Group B and 32% of Group C reported the same. Again, the differences between Groups B and C are minimal. None of the comparison groups met or exceeded the 60% benchmark of almost always true or mostly true survey responses.

When asked if managers encourage cooperation and teamwork, 88% of Group B indicated almost always true or mostly true, while nearly 71% of Group C and 69% of Group A responded the same. The differences between Groups A and C in this instance were minimal. Each of the three comparison groups reported 60% or more almost always and mostly true responses to this survey item.

Table 8

**Statistically Significant Differences Between Comparison Groups:
Vision and Values**

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------|-------|--------------------|-------------|----------------|-------------|-------------------|
| The vision and values of my department are frequently shared with employees. | A | 15.1% | 31.1% | 33.7% | 12.9% | 7.2% |
| | B | 27.8% | 50.0% | 19.4% | 2.8% | 0.0% |
| | C | 26.3% | 21.1% | 28.9% | 10.5% | 13.2% |
| When I do not work according to the values of my department, I am held responsible for my actions. | A | 50.5% | 30.4% | 10.9% | 5.3% | 2.9% |
| | B | 32.4% | 35.2% | 19.7% | 11.3% | 1.4% |
| | C | 54.1% | 29.7% | 13.5% | 2.7% | 0.0% |

Table 9

**Statistically Significant Differences Among Comparison Groups:
Integration and Stewardship**

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|-------------------------------------------------------------------------------------|-------|--------------------|-------------|----------------|-------------|-------------------|
| I sometimes get to work on teams with city employees who work in other departments. | A | 7.6% | 11.7% | 24.7% | 26.5% | 29.5% |
| | B | 13.2% | 23.5% | 26.5% | 17.6% | 19.1% |
| | C | 13.2% | 18.4% | 36.8% | 15.8% | 15.8% |
| Managers encourage cooperation and teamwork. | A | 34.0% | 35.1% | 19.1% | 8.3% | 3.5% |
| | B | 49.3% | 39.1% | 11.6% | 0.0% | 0.0% |
| | C | 36.8% | 34.2% | 15.8% | 13.2% | 0.0% |

Table 10

**Statistically Significant Differences Among Comparison Groups:
Enabling, Empowering, and Energizing**

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|-------------------------------------------------------|-------|--------------------|-------------|----------------|-------------|-------------------|
| Supervisors have confidence in the work of employees. | A | 24.4% | 44.2% | 22.3% | 6.4% | 2.7% |
| | B | 15.3% | 51.4% | 30.6% | 2.8% | 0.0% |
| | C | 18.9% | 64.9% | 16.2% | 0.0% | 0.0% |

Supervisors having confidence in employees was included in the enabling, empowering, and energizing section of the Work of Leadership Survey. There were statistically significant differences among the comparison groups in responding to this item. These differences are presented in Table 10 Group C had the highest percentage of almost always true and mostly true responses (83%) followed by Groups A (69%) and B (67%). The responses for Groups A and B were close. Each of the comparison groups met or exceeded the 60% benchmark of almost always true and mostly true survey responses.

The survey responses for Group C were contrary to the research hypothesis that the parallel leadership teams result in employee perceptions of participative leadership. Responses for Group C indicated that parallel leadership teams are not a necessity for conducting the work of leadership in an organization. The survey data from Group C suggests that the work of leadership appears to get done even without a parallel organization. The implication is that the style of the individual who leads the organization may have more of an impact on employees than having a parallel team which takes time out to do the work of leadership.

Factor analysis was conducted in order to determine what underlying constructs may explain the statistically significant differences among the comparison groups included in this study. The data reveals that there is one factor which accounts for differences among the comparison groups. Table 11 presents the results of factor analysis. Table 11 also includes the eigenvalue and the percent of variance explained by the factor and the communality extraction scores for each variable. The data indicates

that the factor explains 44% of the variance among the statistically significant survey responses. The communality scores suggest that there is not a strong relationship or association among the variables.

The data shows that there are two variables which are highly correlated with the factor: shared vision and values, and managers encouraging cooperation and teamwork. These variables are defined as leadership philosophy in the mid-Atlantic city's HPO model. According to the HPO model, leadership philosophy is concerned with an organization's beliefs about the nature of people, how people are motivated, the distribution of knowledge and creativity, and the nature of work. Creating a shared vision and values and managers encouraging cooperation and teamwork are a reflection of leadership philosophy.

After leadership philosophy was identified as the factor which explains the statistically significant differences among the comparison groups, further statistical analysis was conducted using Analysis of Variance (ANOVA). The results of the ANOVA suggest that leadership philosophy is not a statistically significant explanation of the differences among comparison groups. This data is consistent with earlier findings, which indicate that the work of leadership in the parallel organization has had a limited impact on employees, and it has resulted in limited perceptions of participative leadership.

Table 11

**Factor Loadings for Statistically Significant Differences
Among Comparison Groups**

| Variables | Factor I | Communality |
|--------------------------------------------------------------|-----------------|--------------------|
| Shared vision and values. | .778 | .61 |
| Accountable for working according to values. | .551 | .30 |
| Participates on teams with employees from other departments. | .490 | .24 |
| Managers encourage cooperation and teamwork. | .802 | .64 |
| Supervisors have confidence in employees. | .653 | .43 |
| | | |
| Eigenvalue | 2.22 | |
| % Variance | 44.4 | |

Statistically Significant Differences Between Non-Leadership Team Members and Leadership Team Members

Of the 782 surveys collected in studying the work of leadership in the City of Norfolk, 720 (92%) were received from non-leadership team members and 62 (8%) were received from leadership team members. The differences between survey respondents who were non-leadership team members and leadership team members were statistically significant for 19 out of 33 items in the Work of Leadership survey. If the parallel leadership teams were effective in conducting the work of leadership, fewer statistically significant differences would be expected as leadership team members and employees would have similar experiences and perceptions. Tables 12 through 15 show the survey items for which the differences in responses were statistically significant.

The percentage of almost always true and mostly true responses was higher for leadership team members than for non-leadership team members for most survey items. The implication is that the responses were higher for leadership team members because they are directly involved in conducting the work of leadership in their respective departments. Survey responses suggest that leadership team members may have greater opportunities to participate in collaborative activities or processes than non-leadership team members. Because the differences between employees and leadership team members are statistically significant for more than half of the survey items, it appears that the parallel teams have had a limited impact on employees.

Table 12

**Statistically Significant Differences Between Non-Leadership Team Members
and Leadership Team Members: Vision and Values**

| Survey Item | Status | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|------------------------------------------------------------------------------|-----------|--------------------------|----------------|-------------------|----------------|-------------------------|
| The vision and values of my department are frequently shared with employees. | NLT LT | 16.0% 26.7% | 32.0% 36.7% | 32.0% 33.3% | 12.7% 1.7% | 7.2% 1.7% |
| I understand how my work relates to the vision of our department. | NLT LT | 33.9% 59.0% | 39.7% 26.2% | 16.9% 4.9% | 7.1% 8.2% | 2.4% 1.6% |
| Managers keep employees informed about things they need to know. | NLT LT | 22.3% 21.3% | 33.0% 49.2% | 27.8% 24.6% | 10.8% 3.3% | 6.1% 1.6% |
| Supervisors keep employees informed about things they need to know. | NLT LT | 26.7% 23.0% | 36.0% 52.5% | 24.5% 23.0% | 8.6% 1.6% | 4.2% 0.0% |
| Managers practice what they expect of others. | NLT LT | 17.6% 29.5% | 35.6% 42.6% | 27.6% 21.3% | 12.2% 4.9% | 7.0% 1.6% |
| Supervisors practice what they expect of others. | NLT LT | 20.8% 26.2% | 35.1% 50.8% | 29.2% 18.0% | 9.1% 4.9% | 5.8% 0.0% |

Status Codes

NLT Non-Leadership Team Member

LT Leadership Team Member

Table 13

**Statistically Significant Differences Between Non-Leadership Team Members
and Leadership Team Members: Integration and Stewardship**

| Survey Item | Status | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|---------------------------------------------------------------------------------------------------|-----------|--------------------------|----------------|-------------------|----------------|-------------------------|
| People in our department are helpful to one another. | NLT LT | 27.9% 43.3% | 38.2% 50.0% | 23.7% 6.7% | 7.5% 0.0% | 2.8% 0.0% |
| I sometimes get to work in groups or teams with people who work in other areas of the department. | NLT LT | 11.8% 44.1% | 20.3% 33.9% | 35.6% 18.6% | 18.9% 3.4% | 13.4% 0.0% |
| I sometimes get to work on teams with city employees who work in other departments. | NLT LT | 6.5% 30.5% | 11.6% 30.5% | 25.6% 23.7% | 26.4% 10.2% | 29.8% 5.1% |
| Managers encourage cooperation and teamwork. | NLT LT | 34.3% 50.0% | 35.2% 38.3% | 18.8% 11.7% | 8.5% 0.0% | 3.2% 0.0% |
| Supervisors encourage cooperation and teamwork. | NLT LT | 37.1% 38.3% | 33.1% 48.3% | 18.5% 13.3% | 6.3% 0.0% | 4.9% 0.0% |
| Supervisors respect and treat people fairly. | NLT LT | 23.7% 31.7% | 38.5% 50.0% | 25.2% 16.7% | 7.1% 1.7% | 5.5% 0.0% |

Status Codes

NLT Non-Leadership Team Member

LT Leadership Team Member

Table 14

**Statistically Significant Differences Between Non-Leadership Team Members
and Leadership Team Members: Learning, Thinking, Changing, and Renewing**

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--------------------------|----------------|-------------------|----------------|-------------------------|
| Ideas and suggestions from employees are used in making decisions in our department. | NLT LT | 12.1% 18.6% | 25.0% 42.4% | 41.5% 35.6% | 14.2% 1.7% | 7.2% 1.7% |
| Managers help employees understand their strengths and weaknesses in an honest, helpful way. | NLT LT | 14.9% 8.5% | 28.6% 39.0% | 33.6% 47.5% | 14.6% 3.4% | 8.4% 1.7% |
| Supervisors help employees understand their strengths and weaknesses in an honest, helpful way. | NLT LT | 17.8% 6.8% | 34.8% 40.7% | 30.3% 49.2% | 8.6% 3.4% | 8.5% 0.0% |
| Managers help to prepare employees for the future by providing them with opportunities to learn new job techniques, develop new job skills, and handle greater responsibilities. | NLT LT | 19.5% 30.0% | 28.2% 31.7% | 30.6% 31.7% | 13.3% 5.0% | 8.4% 1.7% |
| Employees are involved in changing and improving the way that work gets done in our department. | NLT LT | 14.4% 23.3% | 30.5% 40.0% | 33.4% 31.7% | 14.0% 3.3% | 7.8% 1.7% |

Status Codes

NLT Non-Leadership Team Member

LT Leadership Team Member

Table 15

**Statistically Significant Differences Between Non-Leadership Team Members
and Leadership Team Members:
Enabling, Empowering, and Energizing Employees**

| Survey Item | Status | Almost Always True | Mostly True | Sometime s True | Rarel y True | Almos t Never True |
|------------------------------------------------------------------|-----------|--------------------------|----------------|--------------------|-----------------|--------------------------|
| People in our department trust one another. | NLT LT | 12.1% 11.7% | 30.3% 36.7% | 31.2% 45.0% | 15.1% 5.0% | 11.4% 1.7% |
| Our department rewards and celebrates good work among employees. | NLT LT | 15.2% 26.7% | 22.0% 40.0% | 26.8% 28.3% | 22.0% 3.3% | 14.2% 1.7% |

Factor analysis reveals that there are two underlying constructs which explain the statistically significant differences between non-leadership team members and leadership team members. A Factor Matrix is presented in Table 16. According to Table 16, Factor I accounts for 50% of the variance among the statistically significant differences between non-leadership team members and leadership team members. The data shows that Factors I and II explain 57% of the variance among the responses of employees and leadership team members.

The data indicate that there are nine survey variables which highly correlate with Factor I. The variables involve managers and supervisors keeping employees informed, practicing what they expect from others, encouraging cooperation and teamwork, and

helping employees understand their strengths and weaknesses in an honest and helpful way. Supervisors respecting and treating people fairly also correlated highly with Factor I. Each of these variables can be summarized as facilitative leadership, which includes actions such as active listening, coaching, teaching, mentoring, modeling behaviors, and helping individuals maximize their personal and professional potential. The data shows that there are two variables which are highly correlated with Factor II. These variables involve people working on teams within their departments and on teams consisting of representatives from other departments. Factor II can be defined as cross-organizational teamwork.

A T-Test was used to determine the statistical significance of each factor. The results indicate that facilitative leadership is not statistically significant. However, cross-organizational teamwork is statistically significant.

Table 16

**Factor Matrix for Statistically Significant Differences
Among Non-Leadership and Leadership Team Members**

| Variable | Factor I | Factor II | Communality |
|-------------------------------------------------------------------------------|-----------|-----------|-----------------------|
| Shared vision and values. | .565 | .412 | .489 |
| Understands how work relates to vision. | .532 | .306 | .377 |
| Managers keep employees informed. | .772 | .202 | .636 |
| Supervisors keep employees informed. | .802 | .102 | .653 |
| Managers practice what they expect. | .778 | .181 | .638 |
| Supervisors practice what they expect. | .822 | 8.309E-02 | .683 |
| People are helpful to one another. | .520 | .304 | .363 |
| Participates on teams in the department. | .149 | .815 | .687 |
| Participates on cross-departmental teams | 8.289E-02 | .851 | .731 |
| Managers encourage cooperation ... | .719 | .249 | .579 |
| Supervisors encourage ... | .792 | .166 | .654 |
| Supervisors respect and treat people fairly. | .760 | .151 | .601 |
| Ideas and suggestions from employees are used in decision making. | .625 | .462 | .604 |
| Managers help employees understand their strengths and weaknesses. | .735 | .287 | .622 |
| Supervisors help employees ... | .781 | .158 | .634 |
| Managers prepare employees for the future. | .633 | .426 | .582 |
| Employees are involved in changing and improving the way that work gets done. | .609 | .478 | .599 |
| People trust one another. | .531 | .272 | .356 |
| Good work is rewarded and celebrated. | .570 | .317 | .426 |
| | | | |
| Eigenvalue | 9.53 | 1.38 | Total 10.91 |
| % Variance | 50.1 | 7.30 | 57.4 |

Statistically Significant Differences Between Non-Leadership Team Members

The survey data was further examined to determine if there were statistically significant differences between non-leadership team members in the two comparison groups which have parallel leadership teams. It was expected that non-leadership team members in Group A would have a higher percentage of almost always true and mostly true responses than Group B because it has had parallel teams for the longest length of time. The research expectation was that there would be several differences between leadership team members in Groups A and B. Consistent with previous findings in this study, the data indicate that there are few statistically significant differences between non-leadership team members in Groups A and B. These differences are presented in Table 17.

The data indicate that there are statistically significant differences for only four out of 33 survey items. For each of the four survey items, Group B had a higher percentage of almost always true and mostly true responses.

Statistically Significant Differences Between Leadership Team Members

The disaggregation of survey data for leadership team members in Groups A and B also indicated few statistically significant differences. The differences are presented in Table 18. These findings were contrary to the research expectation. A larger number of statistically significant differences was expected between the leadership team members, because Group A has had parallel leadership teams longer than Group B. In areas where there were statistically significant differences, however, Group A had a

higher percentage of almost always true and mostly true responses. This finding is consistent with research expectation.

Table 17

**Frequency Distribution of Statistically Significant Differences
Between Non-Leadership Team Members
in Comparison Groups A and B**

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|--------------------------------------------------------------------------------------------------------------|-------|--------------------------|----------------|-------------------|----------------|-------------------------|
| The vision and values of my department are frequently shared with employees. | A | 14.8% | 30.6% | 17.6% | 7.2% | 2.6% |
| | B | 22.6% | 56.6% | 17.0% | 1.9% | 1.9% |
| I sometimes get to work on teams with people who work in other departments. | A | 6.0% | 10.0% | 25.2% | 27.6% | 31.2% |
| | B | 8.0% | 26.0% | 22.0% | 20.0% | 24.0% |
| Managers encourage cooperation and team work. | A | 33.6% | 34.7% | 19.4% | 8.9% | 3.7% |
| | B | 45.1% | 41.2% | 13.7% | 0.0% | 0.0% |
| Employees are encouraged to do things on their own without having to wait for instructions from supervisors. | A | 27.7% | 34.7% | 26.3% | 21.4% | 14.4% |
| | B | 17.0% | 49.1% | 30.8% | 21.2% | 9.6% |

Table 18

**Frequency Distribution of Statistically Significant Differences
Between Leadership Team Members in Comparison Groups A and B**

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|--------------------------|----------------|-------------------|----------------|-------------------------|
| Managers practice what they expect of others. | A | 26.2% | 54.8% | 11.9% | 4.8% | 2.4% |
| | B | 36.8% | 15.8% | 42.1% | 5.3% | 0.0% |
| Supervisors practice what they expect of others. | A | 23.8% | 61.9% | 9.5% | 4.8% | 0.0% |
| | B | 31.6% | 26.3% | 36.8% | 5.3% | 0.0% |
| Supervisors help to prepare employees for the future by providing them with opportunities to learn new job techniques, develop new job skills, and handle greater responsibilities. | A | 24.4% | 48.8% | 26.8% | 0.0% | 0.0% |
| | B | 26.3% | 15.8% | 47.4% | 10.5% | 0.0% |

Summary of Data Analysis

The research hypothesis that the work of leadership in the parallel organization results in employee perceptions of participative leadership has not been supported by much of the survey data. Contrary to the research hypothesis, the survey data indicates that the work of leadership in the parallel organization has had limited success. The rationale is that if the work of leadership in the parallel organization had resulted in participative leadership, a higher percentage of almost always true survey responses would have been reported in the survey data. Contrary to what was expected, 60% or more of the survey respondents reported almost always true and mostly true responses for only 14 out 33 survey items.

Survey responses revealed statistically significant differences between the comparison groups for only five out of 33 survey items. If the parallel leadership teams have been successful in conducting the work of leadership, Group A would have had a higher frequency of almost always true or mostly true responses than Groups B and C. Similarly, the responses for Group B would have been better than those given by Group C. Instead, the survey responses among all three groups were very close.

There was a larger number of statistically significant differences between non-leadership team members and leadership team members. Survey responses for non-leadership team members and leadership team members were statistically significant for 19 survey items. If the parallel leadership teams had been effective in conducting the work of leadership, fewer differences between non-leadership team members and leadership team members should have been observed. The rationale is that if the parallel organization had been effective in conducting the work of leadership, non-leadership team members as well as leadership team members would have been involved in supportive and group-centered processes in their respective departments. Similar proportions of non-leadership team members and leadership team members would indicate perceptions of participative leadership styles. The survey data suggests, however, that a higher percentage of leadership team members reported almost always true and mostly true responses as compared to the non-leadership team members. If the parallel leadership teams have conducted the work of leadership as it is defined in Norfolk's HPO model, a higher percentage of almost always true and

mostly true survey responses would be expected among non-leadership team members as well as leadership team members.

The survey data further revealed that there were few statistically significant differences between non-leadership team members in the comparison groups which have parallel leadership teams. Since the Group A has had parallel leadership teams for two or more years and Group B has had them for one year or less, a larger number of statistically significant differences was expected. The survey data, however, revealed that responses for both groups were very close. Differences in survey responses from non-leadership team members in Groups A and B were statistically significant for only four out of 19 survey items.

Similarly, there were few statistically significant differences between leadership team members in Groups A and B. Differences significant for only three out of 19 survey items. Again, a larger number of statistically significant differences was expected because Group A has had parallel leadership teams longer than Group B.

The research findings in this study suggest that the work of leadership in Norfolk's parallel organization has had a limited impact on employees at this point in time, and it has likewise resulted in limited employee perceptions of participative leadership.

If the work of leadership in the parallel organization had resulted in participative leadership, the following results would have been expected in conducting this study:

- ▼ Comparison group A which has had parallel leadership teams for the longest length of time would have received a higher percentage of almost always true and mostly true ratings in comparison to Groups B and C.
- ▼ Comparison groups A and B which have parallel leadership teams would have received a higher percentage of almost always true and mostly true ratings in comparison to Group C which does not have parallel leadership teams.
- ▼ There would have been fewer differences between non-leadership team members and leadership team members in comparison groups A and B.
- ▼ There would have been greater differences between non-leadership team members in comparison groups A and B.
- ▼ There would have been greater differences between leadership team members in comparison groups A and B.

Table 19 presents a description of the research hypothesis and the research findings.

Table 19

Summary of Research Findings

| | |
|----------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|
| Research Hypothesis: The work of leadership in the parallel organization results in employee perceptions of participative leadership. | |
| 1. | Less than half of the survey items received 60% or more almost always true and mostly true responses. |
| 2. | Differences among the three comparison groups were statistically significant for only five out of 33 survey items. |
| 3. | Differences between non-leadership and leadership team members were statistically significant for 19 survey items. |
| 4. | Differences between non-leadership team members in Groups A and B which have parallel teams were statistically significant for four survey items. |
| 5. | Differences between leadership team members in Groups A and B were statistically significant for three survey items. |

CHAPTER FIVE

The transformation of bureaucratic structures into high performance work systems requires new approaches to managing and leading people (Gephart and Van Buren, 1996). The use of parallel structures is one approach to transforming traditional bureaucratic structures into high performance work systems. This chapter presents the research conclusions about the extent to which the work of leadership in the parallel organization has resulted in employee perceptions of participative leadership in a mid-Atlantic city. For the purpose of this study, participative leadership was defined as supportive, group-centered, and collaborative activities which involve employees in processes which affect them and their work. The research hypothesis was that the work of leadership performed in the parallel organization results in employee perceptions of participative leadership.

Introduction

The parallel organization is intended to be a flexible and participative learning structure, wherein new values and behaviors among employees are developed and implemented. The purpose of the parallel organization is to conduct the work of leadership, which consists of creating a shared vision and values among employees; providing cross functional and cross departmental opportunities for collaboration and teamwork; creating an environment conducive to learning and change; and enabling, empowering and energizing employees.

The work of leadership in the parallel organization has been implemented through the creation of parallel leadership teams in city departments. The purpose of the parallel leadership teams is to perform the work of leadership in the respective departments. The parallel leadership teams are intended to work in tandem with the hierarchy. Membership in the parallel teams include members of the hierarchy (managers and supervisors) and employee representatives, in most instances.

Summary of Research Findings

The primary question addressed in this study is to what extent does the work of leadership in the parallel organization result in employee perceptions of participative leadership? The research findings suggest that work of leadership in the parallel organization has had limited results. The analysis of overall survey data for all of the comparison groups shows that just under half (15 out of 33) of the items were reported to be almost always true or mostly true by 60% of the respondents.

Creating a shared vision and values was one of the leadership functions included in this study. The overall survey data indicates that there is a general understanding of the vision and values of the organization. Survey respondents reported 60% or more almost always true and mostly true responses to four out of eight items in this area.

The leadership function of integration and stewardship was concerned with providing opportunities for teamwork and collaboration. Four of the survey items in this section met the 60% benchmark in this area. Learning, thinking, changing, and renewing appeared to be the leadership function in greatest need of improvement. Only

one item in this area met the 60% benchmark. The fourth function of leadership examined in this study involved enabling, empowering, and energizing employees. Five survey items in this section met the 60% benchmark.

The limited success of the parallel organization is further evidenced by the statistically significant differences between comparison groups; non-leadership team members and leadership team members; non-leadership team members within Groups A and B; and leadership team members within Groups A and B. The analysis of survey data reveals few statistically significant differences among the comparison groups. The responses for the three comparison groups were very close, contrary to research expectations. The expectation was that Group A, which has had parallel leadership teams longer than Groups B and C, would have a higher percentage of almost always true and mostly true survey responses. The data indicates that where there were statistically significant differences, Groups B and C had a higher percentage of almost always true and mostly true survey responses. The results of factor analysis show that leadership philosophy may be the underlying construct that can explain the pattern relationships among the statistically significant differences between the comparison groups. The beliefs and values of the individuals leading organization units within each comparison group may explain the observed differences in responses. Leadership philosophy was not statistically significant.

It was expected that statistically significant differences between non-leadership team members and leadership team members would have been minimal. The rationale is if the parallel leadership teams have effective in conducting the work of leadership,

non-leadership team members as well as leadership team members would have been involved in supportive, group-centered, and collaborative processing affect their work. Therefore, both groups would have reported high percentages of almost always true and mostly true responses and statistically significant differences would have been minimal. There were statistically significant differences between non-leadership team members and leadership team members for more than half of the survey items (19 out of 33).

Factor analysis indicates that facilitative leadership and cross-organizational teamwork are the underlying factors which may explain the statistically significant differences between non-leadership team members and leadership team members. These factors suggest that leadership team members are more likely than non-leadership team members to participate in processes and activities which determine how work gets done. For example, where there were statistically significant differences, leadership team members had a higher percentage of almost always true and mostly true responses concerning supportive relationships with supervisors and managers. They also had a higher percentage of almost always true and mostly true responses when asked if they have an opportunity to participate on departmental and cross-departmental teams. The data also suggests that employee representation on the leadership teams may be limited. Facilitative leadership was not a statistically significant explanation of the differences between employees and leadership team members. Cross-organizational teamwork, however, was statistically significant.

An examination of non-leadership team members in Groups A and B also revealed few statistically significant differences. Non-leadership team members in Group B had

a higher percentage of almost always true and mostly true responses than their peers in Group A. These findings were consistent with the analysis of differences between comparison groups; there were few statistically significant differences.

Survey data was further disaggregated to determine if there were statistically significant differences between leadership team members in Groups A and B. Consistent with previous findings, there were few statistically significant differences. However, where there were differences, leadership team members in Group A had a higher percentage of almost always true and mostly true survey responses. The findings, however, are an example of the results that were expected if the parallel leadership teams had resulted in employee perceptions of participative leadership.

Implications for Theory

The work of leadership in the parallel organization is intended to provide opportunities for individuals at all levels of the city organization to work collaboratively in determining how work gets done. The work of leadership in the parallel organization should lead to participative leadership styles in the hierarchy. The rationale is that the work of leadership involves employees in creating different structures and systems for getting work done. Members of the hierarchy are more likely to use participative leadership styles because of their involvement in conducting the work of leadership in the parallel organization.

The results of this study raise questions about whether or not the work of leadership in the parallel organization is getting done as it is defined in the mid-Atlantic

city's HPO model. It also raises questions about how the work of leadership in the parallel organization transfers into the hierarchy. The implication for theory is that the parallel organization may not result in employee perceptions of participative leadership.

The parallel organization theory assumes that leadership styles in the hierarchy will change because of an individual's involvement in conducting the work of leadership in the parallel organization. The research findings suggest that the parallel organization theory in the mid-Atlantic city is incomplete. The theory is incomplete for several reasons. It lacks an explanation of the critical success factors for implementing effective parallel teams. It does not provide or prescribe a mechanism which assures that new values and behaviors (the work of leadership in the parallel organization) are transferred into the hierarchy.

This study has tested whether or not the parallel organization results in employee perceptions of participative leadership. The results of this study indicate that the work of leadership in the parallel organization as it is defined in the HPO model may be different from what is actually performed by parallel leadership teams in city departments. The results also suggest that factors other than the work of leadership in a parallel team may have more of an influence on employee perceptions of participative leadership. For example, the results of the factor analysis indicate that leadership philosophy may explain the observed differences among comparison group responses. The data suggests that although Group C does not have a parallel leadership team, the leadership philosophy within that group appears to be positive, group-centered, and supportive.

It is recommended that the parallel organization theory can be improved by integrating critical success factors for parallel teams with principles of organizational change. This recommendation could help to improve the implementation of parallel leadership teams, while defining and explaining the process by which a change in leadership styles should actually occur in the hierarchy. It could also help to create a mechanism by which the values and behaviors of the parallel organization are transferred into the hierarchy.

The results of this study suggest an inherent need for a comprehensive organization development strategy. The purpose of the comprehensive organization development strategy should be to integrate and align the systems in order to facilitate the change process. These systems include rewards and incentives, performance appraisal, etc. The organization development strategy should include clearly communicated desired outcomes, performance indicators, and the structure and support systems necessary to support the change intervention. The strategy should link desired changes with specific performance objectives and activities for individuals working at each level of the organization. It is imperative that the tools and resources appropriate for each level of the organization are provided in order to help individuals gain a better understanding of parallel leadership teams, the rationale for organizational change, and their role in the intervention. Without a comprehensive strategy for organizational development and management controls which touch each level of the organization, the mid-Atlantic city will continue to experience limited success in the implementation of a parallel organization.

Implications for Policy and Practice

The analysis of overall survey data shows that improvement is needed in conducting each of the four functions of leadership examined in this study. Survey respondents reported 60% almost always true and mostly true responses to only 15 out of 33 survey items. If the mid-Atlantic city seeks to achieve participative leadership styles in the hierarchy, the data indicates that improvement is needed in:

- ▼ Communicating and modeling what is expected
- ▼ Providing opportunities for cross-functional and cross-departmental teamwork
- ▼ Respecting and treating people fairly
- ▼ Providing opportunities for individual and organizational learning
- ▼ Building trust
- ▼ Rewarding and celebrating good work among employees

The research findings suggest that although several city departments and offices have parallel leadership teams, they may not be conducting the work of leadership. The findings also suggest that the work of leadership in parallel leadership teams is not consistent throughout the city organization. Group A, for example, has had parallel leadership teams for two or more years. Where there were statistically significant differences among the comparison groups, Group A tended to have a lower percentage of almost always true and mostly true responses. Survey responses from Group A suggest

that like many other change interventions, once the newness and excitement wears off, parallel leadership teams may lose their focus, momentum, or energy.

Group B has had parallel leadership teams for one year or less. Where there were statistically significant differences between the comparison groups, Group B had a tendency to have the highest percentages of almost always true and mostly true survey responses. The survey data implies that because the parallel leadership teams in Group B are still in the early stages of implementation, they may be more likely to have the energy and the effort necessary to sustain both interest and momentum and demonstrate progress.

Survey data from Group C indicates that the work of leadership gets done in organizations without having parallel leadership teams. One possible explanation is that the personality and assumptions of the individual leading an organizational unit may have more of an impact in participative leadership styles than parallel leadership teams. Where there were statistically significant differences among the comparison groups, Group C often had a higher percentage of almost always true and mostly true responses than Group A.

The research findings further indicate that leadership team members are more likely than non-leadership team members to participate in processes which determine how things get done. The large number of statistically significant differences between non-leadership team members and leadership team members indicates a need for improving the involvement of individuals from all levels of the organization in the work of leadership. The data suggest that there may be limited employee representation on the

parallel leadership teams. The implication is that if parallel leadership teams are to be effective in conducting the work of leadership, the membership of those teams may need to be reconfigured to include more employee representatives so that they have more ownership and involvement in conducting the work of leadership.

There are other factors which may explain the observed differences among and within the comparisons included in this study. The following factors may have influenced the responses of survey participants:

- ▼ Tenure with the city
- ▼ Work experience in different city departments
- ▼ Participation in education, training, and other development opportunities
- ▼ Involvement city-wide change interventions
- ▼ The nature of work performed by participating departments
- ▼ The types of positions held by survey participants
- ▼ Relationships with co-workers and supervisors
- ▼ The values and expectations of individual participants
- ▼ The values and expectations of individuals leading the departments participating in the survey
- ▼ Size and composition of the parallel leadership teams

Summary

The research findings suggest that it is difficult to implement new values and behaviors without creating new support systems. While the parallel organization emphasizes supportive, collaborative, and group-centered processes, the overall survey

data implies the following: limited opportunities for teamwork, both intradepartmental and interdepartmental; limited use of ideas and suggestions from employees in decision making; limited employee involvement in changing and improving the way that work gets done; lack of manager and supervisor support in helping employees prepare for the future by providing them with opportunities to learn new job techniques, develop new job skills, and handle greater responsibilities; low levels of trust; and the lack of rewards and the celebration of good work. Each of these issues were among the survey items which received less than 60% almost always true and mostly true responses.

The research findings indicate that the parallel leadership teams may lack focus, commitment, and accountability for performance. Consistent with the literature review in chapter two, the research findings suggest that challenge of creating, implementing, and maintaining an effective parallel organization is to continuously energize, refocus, and monitor team performance. Zand (1974) writes that parallel structures are more likely to be successful when there are specific goals to be achieved.

The literature review provides several success factors which if implemented as a measure of accountability could assure that the work of leadership is performed as it is defined in the HPO model. The following critical success factors could be of particular importance:

- ▼ Establishing realistic expectations at all levels of the organization
- ▼ Creating the systems necessary to support and sustain organizational change
- ▼ Defining clear roles, responsibilities, and expectations throughout the organization

- ▼ Establishing top-down and bottom-up lines of communication
- ▼ Linking individual and organizational performance to specific goals and objectives in both the regular organization and the parallel organization

The work of leadership in the parallel organization involves bringing people together to own the whole organization; getting them to collectively develop the vision, values, and behaviors of the organization; and providing them with the tools they need to do their jobs. The work of leadership is a critical component in the mid-Atlantic city's HPO model. A comprehensive organization development strategy which identifies specific activities and performance objectives for each level of the city organization could help to establish focus, a sense of commitment, and accountability for performance.

Limitations of the Study

This study is concerned with the extent to which parallel leadership teams in the mid-Atlantic city result in employee perceptions of participative leadership. The results of this study suggest that the work of leadership in the parallel organization has resulted in limited employee perceptions of participative leadership. However, firm conclusions cannot be made because of the limitations of the design.

The absence of pre-intervention data and the inability to use an experimental design makes it difficult to determine the impact of the work of leadership in the parallel organization on employees. The inability to control the implementation of the parallel organization in order to assure consistent practices is another weakness in this study. These weaknesses make it difficult to determine why the work of leadership in the

parallel organization has resulted in limited employee perceptions of participative leadership.

This study cannot be generalized to other organizations. However, its findings yield helpful insights concerning the use of parallel organizations. This study may be helpful to organizations which are seeking innovative, flexible, and collaborative processes for improving their effectiveness, operational efficiencies, and the value of services provided to customers.

In addition, this study offers a methodology for examining the use and effectiveness of parallel organizations. This study may be of particular importance in urban environments seeking to improve competencies and capacities within city government and in the communities they serve.

Opportunities for Further Research

The findings in this study lead to several opportunities for further research concerning the use of parallel organizations. The results of this study indicate a need for more rigorous research designs in examining the processes by which organizational change occurs.

Future research concerning the use of parallel organizations should consider how long it takes to change the culture of an organization. The research findings also suggest a need to consider what strategies can be used to keep parallel organizations energized and focused. Likewise, what strategies can assure that the work of leadership in the parallel organization results in participative leadership in the hierarchy?

Because of the limitations of this study's research design, we cannot determine if the limited results of the parallel organization are due to an incorrect theory or the improper implementation of the model.

APPENDICES

APPENDIX I

Survey Sections and Functions of Leadership

Section I. Vision and Values. This leadership function involves creating a shared vision and values among employees and developing the appropriate systems, structures, and strategies to achieve the vision. The importance of a shared vision and values coupled with the alignment of appropriate systems is that it helps to achieve employee ownership and commitment to the organization. Survey questions in this section are concerned with the extent to which employees understand the department's plans for the future and the types of behaviors that are needed in order to achieve those plans.

Section II. Integration and Stewardship. This leadership function refers to our ability to look beyond self-interest to provide service to others and the larger organization. It encourages employees to look beyond issues which only pertain to their jobs and their areas of work to understand what is happening with their peers in other jobs and/or other areas of the department. The importance of integration and stewardship is that it challenges individuals to focus on service to others rather than self-interest and to take collective responsibility for issues affecting the larger organization. This section of the survey focuses on the extent to which people in the department work together and with people in other areas of the City to complete tasks and to serve the needs of the public.

Section III. Learning, Thinking, Changing, and Renewing. This leadership function is concerned with creating an environment conducive to innovation and change through both individual and organizational learning. This function requires leadership to create opportunities for growth and development; to challenge mental models and encourage new ways of thinking; and to encourage change and innovation. The survey questions in this section seek to determine the extent to which your department provides opportunities for learning, growth, and the sharing and implementation of new ideas.

Section IV. Enabling, Empowering, and Energizing Employees. This function of leadership is concerned with motivating employees, treating them with dignity and respect, and giving them ownership of decisions relating to their work. The questions in this section of the survey are concerned with the extent to which your department provides a supportive environment which encourages everyone to do their best work.

APPENDIX II
Work of Leadership Survey

The Work of Leadership

Instructions: Please read each of the statements provided in this survey. Please tell us how true each statement is by selecting only one response. Thank you for completing this survey!

Section I: Vision and Values. *This section is concerned with the extent to which employees understand your department's plans for the future and the types of behaviors that are needed in order to achieve those plans.*

1. The vision and values of my department are frequently shared and discussed with employees.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
2. I understand how my work relates to the vision of our department.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
3. I understand that I must work according to the values of our department.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
4. When I do not work according to the values of the department, I am held responsible for my actions.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
5. Managers keep employees informed about things they need to know.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
6. Supervisors keep employees informed about things they need to know.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
7. Managers practice what they expect of others.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
8. Supervisors practice what they expect of others.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true

Section II: Stewardship and Integration. *This section focuses on the extent to which people in your department work together and with people in other areas of the City to complete tasks and to serve the needs of the public.*

1. People in our department are helpful to one another.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true

2. I sometimes get to work in groups or on teams with people who work in other areas of the department.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
3. I sometimes get to work on teams with city employees who work in other departments.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
4. I am willing to pitch in wherever my help is needed in the department.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
5. Managers encourage cooperation and teamwork.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
6. Supervisors encourage cooperation and teamwork.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
7. Managers respect and treat people fairly.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
8. Supervisors respect and treat people fairly.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true

Section III: Learning, Thinking, Changing and Renewing. *This section seeks to determine the extent to which your department provides opportunities for learning and growth and the sharing of new ideas.*

1. Managers are open to new information and ideas.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
2. Supervisors are open to new information and ideas.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
3. Ideas and suggestions from employees are used in making decisions in our department.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
4. Managers help employees understand their strengths and weaknesses in an honest, helpful way.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
5. Supervisors help employees understand their strengths and weaknesses in an honest, helpful way.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
6. Managers help to prepare employees for the future by providing them with opportunities to learn new job techniques, develop new job skills, and handle greater responsibilities.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
7. Supervisors help to prepare employees for the future by providing them with opportunities to learn new job techniques, develop new job skills, and handle greater responsibilities.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true

8. Employees who have attended workshops and training programs are given an opportunity to use what they have learned when they come back to the job.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
9. Employees are involved in changing and improving the way that work gets done in our department.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true

Section IV: Enabling, Empowering, and Energizing Employees. *This section is concerned with the extent to which your department provides a supportive environment which encourages everyone to do their best work.*

1. People in our department trust one another.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
2. Managers and supervisors have confidence in the work of employees.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
3. Supervisors have confidence in the work of employees.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
4. Managers encourage honesty and openness in our department.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
5. Supervisors encourage honesty and openness in our department.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
6. Employees can make decisions to change the way that work is done in order to prevent problems.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
7. Employees are encouraged to do things on their own without having to wait for instructions from supervisors.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true
8. My department rewards and celebrates good work among employees.
☐ Almost always true ☐ Mostly true ☐ Sometimes true ☐ Rarely true ☐ Almost never true

APPENDIX III

Frequency Distribution of Overall Survey Responses

Section I. Vision and Values

| Survey Item | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------|--------------------|-------------|----------------|-------------|-------------------|
| The vision and values of my department are frequently shared with employees. | 16.8% | 32.4% | 32.1% | 11.8% | 6.8% |
| I understand how my work relates to the vision of our department. | 35.91 | 38.6% | 16.0% | 7.2% | 2.3% |
| I understand that I must work according to the values of our department. | 54.5% | 32.6% | 8.3% | 3.3% | 1.3% |
| When I do not work according to the values of my department, I am held responsible for my actions. | 49.0% | 30.8% | 11.8% | 5.7% | 2.6% |
| Managers keep employees informed about things they need to know. | 22.3% | 34.2% | 27.5% | 10.2% | 5.8% |
| Supervisors keep employees informed about things they need to know. | 26.4% | 37.3% | 24.4% | 8.1% | 3.8% |
| Managers practice what they expect of others. | 18.6% | 36.1% | 27.1% | 11.6% | 6.6% |
| Supervisors practice what they expect of others. | 21.2% | 36.4% | 28.3% | 8.7% | 5.4% |

Section II. Integration and Stewardship

| Survey Item | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|---------------------------------------------------------------------------------------------------|--------------------|-------------|----------------|-------------|-------------------|
| People in our department are helpful to one another. | 29.1% | 39.1% | 22.3% | 6.9% | 2.6% |
| I sometimes get to work in groups or teams with people who work in other areas of the department. | 14.3% | 21.3% | 34.3% | 17.7% | 12.4% |
| I sometimes get to work on teams with city employees who work in other departments. | 8.4% | 13.1% | 25.5% | 25.2% | 27.9% |
| I am willing to pitch in wherever my help is needed in the department. | 62.3% | 28.9% | 6.4% | 2.1% | .4% |
| Managers encourage cooperation and teamwork. | 35.5% | 35.4% | 18.2% | 7.8% | 3.0% |
| Supervisors encourage cooperation and teamwork. | 37.2% | 34.3% | 18.1% | 5.8% | 4.5% |
| Managers respect and treat people fairly. | 22.7% | 37.2% | 25.8% | 8.6% | 5.7% |
| Supervisors respect and treat people fairly. | 24.3% | 39.4% | 24.6% | 6.6% | 5.1% |

Section III. Learning, Thinking, Changing, and Renewing

| Survey Item | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|----------------|-------------------|----------------|-------------------------|
| Managers are open to new information and ideas. | 23.5% | 34.6% | 27.1% | 10.1% | 4.8% |
| Supervisors are open to new information and ideas. | 24.1% | 37.4% | 28.2% | 6.7% | 3.7% |
| Ideas and suggestions from employees are used in making decisions in our department. | 12.6% | 26.4% | 41.1% | 13.2% | 6.8% |
| Managers help employees understand their strengths and weaknesses in an honest, helpful way. | 14.4% | 29.4% | 34.7% | 13.7% | 7.8% |
| Supervisors help employees understand their strengths ... | 17.0% | 35.2% | 31.8% | 8.2% | 7.8% |
| Managers help to prepare employees for the future by providing them with opportunities to learn new job techniques, develop new job skills, and handle greater responsibilities. | 20.3% | 28.5% | 30.7% | 12.6% | 7.8% |
| Supervisors help to prepare employees for the future ... | 19.8% | 34.8% | 28.8% | 9.4% | 7.1% |
| Employees who have attended workshops and training programs are given an opportunity to use what they have learned when they come back to the job. | 19.7% | 34.3% | 31.8% | 9.2% | 5.1% |
| Employees are involved in changing and improving the way that work gets done in our department. | 15.1% | 31.3% | 33.2% | 13.1% | 7.3% |

Section IV. Enabling, Empowering, and Energizing Employees

| Survey Item | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|--------------------------------------------------------------------------------------------------------------|--------------------|-------------|----------------|-------------|-------------------|
| People in our department trust one another. | 12.0% | 30.8% | 32.3% | 14.3% | 10.6% |
| Managers have confidence in the work of employees. | 19.6% | 42.8% | 27.2% | 7.0% | 3.4% |
| Supervisors have confidence in the work of employees. | 23.3% | 45.8% | 22.8% | 5.7% | 2.3% |
| Managers encourage honesty and openness in our department. | 27.3% | 36.2% | 22.2% | 9.0% | 5.3% |
| Supervisors encourage honesty and openness in our department. | 28.1% | 37.5% | 22.4% | 6.6% | 5.4% |
| Employees can make decisions to change the way that work gets done in order to prevent problems. | 17.0% | 31.9% | 30.9% | 12.5% | 7.7% |
| Employees are encouraged to do things on their own without having to wait for instructions from supervisors. | 26.2% | 36.4% | 22.3% | 9.8% | 5.3% |
| Our department rewards and celebrates good work among employees. | 16.1% | 23.4% | 26.9% | 20.5% | 13.2% |

APPENDIX IV

Frequency Distribution of Survey Responses by Comparison Group

Section I. Vision and Values

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------|-------|--------------------|-------------|----------------|-------------|-------------------|
| The vision and values of my department are frequently shared with employees. | A | 15.1% | 31.1% | 33.7% | 12.9% | 7.2% |
| | B | 27.8% | 50.0% | 19.4% | 2.8% | 0.0% |
| | C | 26.3% | 21.1% | 28.9% | 10.5% | 13.2% |
| I understand how my work relates to the vision of our department. | A | 34.5% | 39.0% | 16.8% | 7.2% | 2.5% |
| | B | 44.4% | 36.1% | 13.9% | 4.2% | 1.4% |
| | C | 44.7% | 36.8% | 5.3% | 13.2% | 0.0% |
| I understand that I must work according to the values of our department. | A | 53.9% | 32.4% | 8.5% | 3.7% | 1.5% |
| | B | 55.6% ⁶ | 34.7% | 9.7% | 0.0% | 0.0% |
| | C | 3.2% | 31.6% | 2.6% | 2.6% | 0.0% |
| When I do not work according to the values of my department, I am held responsible for my actions. | A | 50.5% | 30.4% | 10.9% | 5.3% | 2.9% |
| | B | 32.4% | 35.2% | 19.7% | 11.3% | 1.4% |
| | C | 54.1% | 29.7% | 13.5% | 2.7% | 0.0% |
| Managers keep employees informed about things they need to know. | A | 21.9% | 34.8% | 26.4% | 10.8% | 6.1% |
| | B | 25.0% | 30.6% | 37.5% | 5.6% | 1.4% |
| | C | 23.7% | 31.6% | 28.9% | 7.9% | 7.9% |
| Supervisors keep employees informed about things they need to know. | A | 26.4% | 37.3% | 23.1% | 8.8% | 4.3% |
| | B | 26.4% | 30.6% | 37.5% | 4.2% | 1.4% |
| | C | 26.3% | 50.0% | 21.1% | 2.6% | 0.0% |
| Managers practice what they expect of others. | A | 17.9% | 36.8% | 26.0% | 12.2% | 7.2% |
| | B | 26.4% | 27.8% | 34.7% | 9.7% | 1.4% |
| | C | 16.2% | 40.5% | 32.4% | 5.4% | 5.4% |
| Supervisors practice what they expect of others. | A | 20.8% | 36.9% | 27.3% | 8.8% | 6.3% |
| | B | 24.6% | 33.3% | 33.3% | 8.7% | 0.0% |
| | C | 22.2% | 33.3% | 36.1% | 8.3% | 0.0% |

Section II. Integration and Stewardship

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|---------------------------------------------------------------------------------------------------|-------|--------------------|-------------|----------------|-------------|-------------------|
| People in our department are helpful to one another. | A | 28.4% | 38.0% | 22.9% | 7.7% | 3.0% |
| | B | 34.8% | 46.4% | 15.9% | 2.9% | 0.0% |
| | C | 31.6% | 44.7% | 23.7% | 0.0% | 0.0% |
| I sometimes get to work in groups or teams with people who work in other areas of the department. | A | 13.4% | 20.5% | 34.8% | 17.8% | 13.6% |
| | B | 20.9% | 28.4% | 29.9% | 16.4% | 4.5% |
| | C | 18.4% | 23.7% | 34.2% | 18.4% | 5.3% |
| I sometimes get to work on teams with city employees who work in other departments. | A | 7.6% | 11.7% | 24.7% | 26.5% | 29.5% |
| | B | 13.2% | 23.5% | 26.5% | 17.6% | 19.1% |
| | C | 13.2% | 18.4% | 36.8% | 15.8% | 15.8% |
| I am willing to pitch in wherever my help is needed in the department. | A | 61.6% | 29.2% | 6.5% | 2.3% | .5% |
| | B | 67.2% | 26.9% | 4.5% | 1.5% | 0.0% |
| | C | 65.8% | 26.3% | 7.9% | 0.0% | 0.0% |
| Managers encourage cooperation and teamwork. | A | 34.0% | 35.1% | 19.1% | 8.3% | 3.5% |
| | B | 49.3% | 39.1% | 11.6% | 0.0% | 0.0% |
| | C | 36.8% | 34.2% | 15.8% | 13.2% | 0.0% |
| Supervisors encourage cooperation and teamwork. | A | 36.4% | 33.7% | 18.2% | 6.5% | 5.3% |
| | B | 42.0% | 39.1% | 17.4% | 1.4% | 0.0% |
| | C | 42.1% | 36.8% | 18.4% | 2.6% | 0.0% |
| Managers respect and treat people fairly. | A | 21.5% | 37.6% | 25.6% | 8.9% | 6.4% |
| | B | 34.8% | 31.9% | 27.5% | 5.8% | 0.0% |
| | C | 21.1% | 39.5% | 26.3% | 7.9% | 5.3% |
| Supervisors respect and treat people fairly. | A | 23.9% | 39.1% | 24.0% | 7.1% | 5.9% |
| | B | 27.5% | 39.1% | 30.4% | 2.9% | 0.0% |
| | C | 26.3% | 44.7% | 23.7% | 5.3% | 0.0% |

Section III. Learning, Thinking, Changing, and Renewing

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------------------------------------------------------|-------|--------------------|-------------|----------------|-------------|-------------------|
| Managers are open to new information and ideas. | A | 22.6% | 34.3% | 27.0% | 10.7% | 5.4% |
| | B | 30.4% | 40.6% | 23.2% | 5.8% | 0.0% |
| | C | 26.3% | 28.9% | 34.2% | 7.9% | 2.6% |
| Supervisors are open to new information and ideas. | A | 23.9% | 37.3% | 27.6% | 7.1% | 4.1% |
| | B | 27.1% | 32.9% | 34.3% | 5.7% | 0.0% |
| | C | 21.1% | 47.4% | 26.3% | 2.6% | 2.6% |
| Ideas and suggestions from employees are used in making decisions in our department. | A | 11.9% | 25.4% | 42.0% | 13.2% | 7.6% |
| | B | 15.5% | 32.4% | 39.4% | 12.7% | 0.0% |
| | C | 18.4% | 31.6% | 28.9% | 15.8% | 5.3% |
| Managers help employees understand their strengths and weaknesses in an honest, helpful way. | A | 15.1% | 28.9% | 34.5% | 13.5% | 8.1% |
| | B | 11.4% | 31.4% | 41.4% | 10.0% | 5.7% |
| | C | 7.9% | 34.2% | 26.3% | 23.7% | 7.9% |
| Supervisors help employees understand their strengths ... | A | 18.0% | 35.8% | 30.7% | 7.4% | 8.2% |
| | B | 11.3% | 26.8% | 42.3% | 14.1% | 5.6% |
| | C | 10.5% | 42.1% | 31.6% | 10.5% | 5.3% |
| Managers help to prepare employees for the future by providing them with opportunities ... | A | 19.3% | 28.9% | 30.5% | 12.9% | 8.4% |
| | B | 28.2% | 21.1% | 35.2% | 9.9% | 5.6% |
| | C | 23.7% | 34.2% | 26.3% | 13.2% | 2.6% |
| Supervisors help to prepare employees for the future ... | A | 19.3% | 35.7% | 27.7% | 9.6% | 7.7% |
| | B | 22.5% | 25.4% | 38.0% | 8.5% | 5.6% |
| | C | 23.7% | 36.8% | 31.6% | 7.9% | 0.0% |
| Employees who have attended workshops and training programs are given an opportunity to use what they have learned when they come back to the job. | A | 19.3% | 33.8% | 32.9% | 8.6% | 5.3% |
| | B | 20.0% | 38.6% | 27.1% | 10.0% | 4.3% |
| | C | 24.3% | 35.1% | 21.6% | 16.2% | 2.7% |
| Employees are involved in changing and improving the way that work gets done in our department. | A | 13.9% | 31.7% | 32.8% | 13.6% | 7.9% |
| | B | 22.5% | 28.2% | 38.0% | 8.5% | 2.8% |
| | C | 21.1% | 28.9% | 31.6% | 13.2% | 5.3% |

Section IV. Enabling, Empowering, and Enabling

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|--------------------------------------------------------------------------------------------------------------|-------|--------------------|-------------|----------------|-------------|-------------------|
| People in our department trust one another. | A | 11.6% | 30.4% | 31.2% | 15.6% | 11.1% |
| | B | 15.5% | 33.8% | 38.0% | 7.0% | 5.6% |
| | C | 13.2% | 31.6% | 39.5% | 5.3% | 10.5% |
| Managers have confidence in the work of employees. | A | 20.6% | 41.0% | 27.2% | 7.4% | 3.7% |
| | B | 15.5% | 52.1% | 28.2% | 4.2% | 0.0% |
| | C | 10.5% | 55.3% | 23.7% | 5.3% | 5.3% |
| Supervisors have confidence in the work of employees. | A | 24.4% | 44.2% | 22.3% | 6.4% | 2.7% |
| | B | 15.3% | 51.4% | 30.6% | 2.8% | 0.0% |
| | C | 18.9% | 64.9% | 16.2% | 0.0% | 0.0% |
| Managers encourage honesty and openness in our department. | A | 27.6% | 34.7% | 22.5% | 9.4% | 5.8% |
| | B | 26.4% | 48.6% | 18.1% | 4.2% | 2.8% |
| | C | 23.7% | 36.8% | 26.3% | 10.5% | 2.6% |
| Supervisors encourage honesty and openness in our department. | A | 28.5% | 36.8% | 22.0% | 6.8% | 5.9% |
| | B | 25.0% | 44.4% | 22.2% | 5.6% | 2.8% |
| | C | 26.3% | 36.8% | 28.9% | 5.3% | 2.6% |
| Employees can make decisions to change the way that work gets done in order to prevent problems. | A | 16.9% | 32.8% | 29.3% | 12.6% | 8.3% |
| | B | 16.9% | 26.8% | 45.1% | 8.5% | 2.8% |
| | C | 18.4% | 26.3% | 31.6% | 18.4% | 5.3% |
| Employees are encouraged to do things on their own without having to wait for instructions from supervisors. | A | 27.2% | 34.9% | 22.4% | 9.4% | 6.2% |
| | B | 19.4% | 47.2% | 20.8% | 12.5% | 0.0% |
| | C | 21.1% | 42.1% | 23.7% | 13.2% | 0.0% |
| Our department rewards and celebrates good work among employees. | A | 16.0% | 23.6% | 26.3% | 20.4% | 13.7% |
| | B | 23.9% | 22.5% | 31.0% | 15.5% | 7.0% |
| | C | 2.6% | 21.1% | 28.9% | 31.6% | 15.8% |

APPENDIX V

Frequency Distribution of Survey Responses from Non-Leadership Team Members and Leadership Team Members

Section I. Vision and Values

| Survey Item | Status | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------|-----------|--------------------------|----------------|-------------------|----------------|-------------------------|
| The vision and values of my department are frequently shared with employees. | Nlt Lt | 16.0% 26.7% | 32.0% 36.7% | 32.0% 33.3% | 12.7% 1.7% | 7.2% 1.7% |
| I understand how my work relates to the vision of our department. | Nlt Lt | 33.9% 59.0% | 39.7% 26.2% | 16.9% 4.9% | 7.1% 8.2% | 2.4% 1.6% |
| I understand that I must work according to the values of our department. | Nlt Lt | 53.0% 72.1% | 33.8% 18.0% | 8.5% 6.6% | 3.3% 3.3% | 1.4% 0.0% |
| When I do not work according to the values of my department, I am held responsible for my actions. | Nlt Lt | 50.3% 34.4% | 30.2% 37.7% | 11.2% 19.7% | 5.8% 4.9% | 2.5% 3.3% |
| Managers keep employees informed about things they need to know. | Nlt Lt | 22.3% 21.3% | 33.0% 49.2% | 27.8% 24.6% | 10.8% 3.3% | 6.1% 1.6% |
| Supervisors keep employees informed about things they need to know. | Nlt Lt | 26.7% 23.0% | 36.0% 52.5% | 24.5% 23.0% | 8.6% 1.6% | 4.2% 0.0% |
| Managers practice what they expect of others. | Nlt Lt | 17.6% 29.5% | 35.6% 42.6% | 27.6% 21.3% | 12.2% 4.9% | 7.0% 1.6% |
| Supervisors practice what they expect of others. | Nlt Lt | 20.8% 26.2% | 35.1% 50.8% | 29.2% 18.0% | 9.1% 4.9% | 5.8% 0.0% |

Section II. Integration and Stewardship

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|---------------------------------------------------------------------------------------------------|-----------|--------------------------|----------------|-------------------|----------------|-------------------------|
| People in our department are helpful to one another. | Nlt Lt | 27.9% 43.3% | 38.2% 50.0% | 23.7% 6.7% | 7.5% 0.0% | 2.8% 0.0% |
| I sometimes get to work in groups or teams with people who work in other areas of the department. | Nlt Lt | 11.8% 44.1% | 20.3% 33.9% | 35.6% 18.6% | 18.9% 3.4% | 13.4% 0.0% |
| I sometimes get to work on teams with city employees who work in other departments. | Nlt Lt | 6.5% 30.5% | 11.6% 30.5% | 25.6% 23.7% | 26.4% 10.2% | 29.8% 5.1% |
| I am willing to pitch in wherever my help is needed in the department. | Nlt Lt | 60.8% 79.7% | 29.7% 18.6% | 6.8% 1.7% | 2.3% 0.0% | 0.4% 0.0% |
| Managers encourage cooperation and teamwork. | Nlt Lt | 34.3% 50.0% | 35.2% 38.3% | 18.8% 11.7% | 8.5% 0.0% | 3.2% 0.0% |
| Supervisors encourage cooperation and teamwork. | Nlt Lt | 37.1% 38.3% | 33.1% 48.3% | 18.5% 13.3% | 6.3% 0.0% | 4.9% 0.0% |
| Managers respect and treat people fairly. | Nlt Lt | 22.1% 30.0% | 36.5% 45.0% | 26.3% 20.0% | 9.1% 3.3% | 6.1% 1.7% |
| Supervisors respect and treat people fairly. | Nlt Lt | 23.7% 31.7% | 38.5% 50.0% | 25.2% 16.7% | 7.1% 1.7% | 5.5% 0.0% |

Section III. Learning, Thinking, Changing, and Renewing

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--------------------------|----------------|-------------------|----------------|-------------------------|
| Managers are open to new information and ideas. | Nlt Lt | 23.3% 25.0% | 33.6% 46.7% | 27.5% 21.7% | 10.5% 5.0% | 5.0% 1.7% |
| Supervisors are open to new information and ideas. | Nlt Lt | 24.4% 20.0% | 36.7% 45.0% | 27.7% 33.3% | 7.1% 1.7% | 4.0% 0.0% |
| Ideas and suggestions from employees are used in making decisions in our department. | Nlt Lt | 12.1% 18.6% | 25.0% 42.4% | 41.5% 35.6% | 14.2% 1.7% | 7.2% 1.7% |
| Managers help employees understand their strengths and weaknesses in an honest, helpful way. | Nlt Lt | 14.9% 8.5% | 28.6% 39.0% | 33.6% 47.5% | 14.6% 3.4% | 8.4% 1.7% |
| Supervisors help employees understand their strengths and weaknesses in an honest, helpful way. | Nlt Lt | 17.8% 6.8% | 34.8% 40.7% | 30.3% 49.2% | 8.6% 3.4% | 8.5% 0.0% |
| Managers help to prepare employees for the future by providing them with opportunities to learn new job techniques, develop new job skills, and handle greater responsibilities. | Nlt Lt | 19.5% 30.0% | 28.2% 31.7% | 30.6% 31.7% | 13.3% 5.0% | 8.4% 1.7% |
| Supervisors help to prepare employees for the future ... | Nlt Lt | 19.4% 25.0% | 34.5% 38.3% | 28.4% 33.3% | 9.9% 3.3% | 7.8% 0.0% |
| Employees who have attended workshops and training programs are given an opportunity to use what they have learned when they come back to the job. | Nlt Lt | 19.5% 21.7% | 33.2% 46.7% | 32.4% 25.0% | 9.5% 5.0% | 5.4% 1.7% |
| Employees are involved in changing and improving the way that work gets done in our department. | Nlt Lt | 14.4% 23.3% | 30.5% 40.0% | 33.4% 31.7% | 14.0% 3.3% | 7.8% 1.7% |

Section IV. Enabling, Empowering, and Energizing Employees

| Survey Item | Status | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|--------------------------------------------------------------------------------------------------------------|-----------|--------------------------|----------------|-------------------|----------------|-------------------------|
| People in our department trust one another. | Nlt Lt | 12.1% 11.7% | 30.3% 36.7% | 31.2% 45.0% | 15.1% 5.0% | 11.4% 1.7% |
| Managers have confidence in the work of employees. | Nlt Lt | 19.7% 18.3% | 42.7% 43.3% | 26.5% 35.0% | 7.5% 1.7% | 3.6% 1.7% |
| Supervisors have confidence in the work of employees. | Nlt Lt | 24.0% 15.0% | 45.2% 53.3% | 22.2% 30.0% | 6.1% 1.7% | 2.5% 0.0% |
| Managers encourage honesty and openness in our department. | Nlt Lt | 26.6% 36.1% | 35.7% 41.0% | 22.6% 18.0% | 9.5% 3.3% | 5.6% 1.6% |
| Supervisors encourage honesty and openness in our department. | Nlt Lt | 28.2% 26.2% | 36.5% 49.2% | 22.3% 23.0% | 7.0% 1.6% | 5.9% 0.0% |
| Employees can make decisions to change the way that work gets done in order to prevent problems. | Nlt Lt | 16.9% 18.6% | 31.2% 40.7% | 30.8% 32.2% | 12.9% 6.8% | 8.2% 1.7% |
| Employees are encouraged to do things on their own without having to wait for instructions from supervisors. | Nlt Lt | 26.5% 22.0% | 36.2% 39.0% | 21.5% 32.2% | 10.2% 5.1% | 5.6% 1.7% |
| Our department rewards and celebrates good work among employees. | Nlt Lt | 15.2% 26.7% | 22.0% 40.0% | 26.8% 28.3% | 22.0% 3.3% | 14.2% 1.7% |

APPENDIX VI

Statistically Significant Differences Among Comparison Groups

| Survey Item | Chi-Square Sign.* | Cramer's V | Kendall's Tau-b |
|----------------------------------------------------------------------------------------------------|----------------------|------------|--------------------|
| The vision and values of my department are frequently shared with employees. | .000 | .148 | .131 |
| When I do not work according to the values of my department, I am held responsible for my actions. | .051 | .100 | -.066 |
| I sometimes get to work on teams with city employees who work in other departments. | .007 | .117 | .132 |
| Managers encourage cooperation and teamwork. | .028 | .106 | .092 |
| Supervisors have confidence in the work of employees. | .045 | .101 | .001 |

* Significant at the .05 level.

APPENDIX VII

Statistically Significant Differences Among Employees and Leadership Team Members

| Survey Item | Chi-Square Sign.* | Cramer's V | Kendall's Tau-b |
|-------------------------------------------------------------------------------|----------------------|------------|--------------------|
| The vision and values are shared ... | .015 | .126 | .102 |
| I understand how my work relates to the vision of our department. | .001 | .151 | .115 |
| Managers keep employees informed. | .047 | .111 | .062 |
| Supervisors keep employees informed. | .035 | .115 | .043 |
| Managers practice what they expect. | .028 | .118 | .107 |
| Supervisors practice what they expect. | .019 | .126 | .097 |
| People are helpful to one another. | .001 | .161 | .138 |
| I work on teams with people from other areas of the department. | .000 | .289 | .240 |
| I work on teams with people from other departments. | .000 | .303 | .239 |
| Managers encourage cooperation ... | .014 | .128 | .111 |
| Supervisors encourage ... | .023 | .121 | .057 |
| Supervisors respect and treat people fairly. | .030 | .118 | .097 |
| Ideas and suggestions from employees are used in decision making. | .002 | .152 | .132 |
| Managers help employees understand their strengths and weaknesses. | .006 | .139 | .043 |
| Supervisors help employees ... | .002 | .152 | -.010 |
| Managers prepare employees for the future ... | .051 | .112 | .093 |
| Employees are involved in changing and improving the way that work gets done. | .016 | .127 | .111 |
| People in our department trust one another. | .012 | .130 | .067 |
| Good work is rewarded and celebrated. | .000 | .192 | .164 |

* Significant at the .05 level.

APPENDIX VIII

Factor Matrix for Statistically Significant Differences Among Comparison Groups

| Variables | Factor I | Communality |
|--------------------------------------------------------------|----------|-------------|
| Shared vision and values. | .778 | .61 |
| Accountable for working according to values. | .551 | .30 |
| Participates on teams with employees from other departments. | .490 | .24 |
| Managers encourage cooperation and teamwork. | .802 | .64 |
| Supervisors have confidence in employees. | .653 | .43 |
| | | |
| Eigenvalue | 2.22 | |
| % Variance | 44.4 | |

APPENDIX IX

Factor Matrix for Statistically Significant Differences Among Non-Leadership Team Members and Leadership Team Members

| Variable | Factor I | Factor II | Communality |
|-------------------------------------------------------------------------------|-----------|-----------|-----------------------|
| Shared vision and values. | .565 | .412 | .489 |
| Understands how work relates to vision. | .532 | .306 | .377 |
| Managers keep employees informed. | .772 | .202 | .636 |
| Supervisors keep employees informed. | .802 | .102 | .653 |
| Managers practice what they expect. | .778 | .181 | .638 |
| Supervisors practice what they expect. | .822 | 8.309E-02 | .683 |
| People are helpful to one another. | .520 | .304 | .363 |
| Participates on teams with people from other areas of the department. | .149 | .815 | .687 |
| Participates on teams with people from other departments. | 8.289E-02 | .851 | .731 |
| Managers encourage cooperation ... | .719 | .249 | .579 |
| Supervisors encourage ... | .792 | .166 | .654 |
| Supervisors respect and treat people fairly. | .760 | .151 | .601 |
| Ideas and suggestions from employees are used in decision making. | .625 | .462 | .604 |
| Managers help employees understand their strengths and weaknesses. | .735 | .287 | .622 |
| Supervisors help employees ... | .781 | .158 | .634 |
| Managers prepare employees for the future. | .633 | .426 | .582 |
| Employees are involved in changing and improving the way that work gets done. | .609 | .478 | .599 |
| People trust one another. | .531 | .272 | .356 |
| Good work is rewarded and celebrated. | .570 | .317 | .426 |
| Eigenvalue | 9.53 | 1.38 | <u>Total</u> 10.91 |
| % Variance | 50.1 | 7.30 | 57.4 |

APPENDIX X

Frequency Distribution of Survey Responses Non-Leadership Team Members in Comparison Groups A and B

Section I. Vision and Values

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------|--------|-----------------------------|----------------|-------------------|----------------|-------------------------|
| The vision and values of my department are frequently shared with employees. | A B | 14.8% 22.6% | 30.6% 56.6% | 33.5% 17.0% | 13.6% 3.8% | 7.5% 0.0% |
| I understand how my work relates to the vision of our department. | A B | 33.1% 35.8% | 39.5% 43.4% | 17.6% 17.0% | 7.2% 1.9% | 2.6% 1.9% |
| I understand that I must work according to the values of our department. | A B | 52.2% 54.7% ³ | 33.8% 35.8% | 8.8% 9.4% | 3.7% 0.0% | 1.6 0.0% |
| When I do not work according to the values of my department, I am held responsible for my actions. | A B | 51.5% 32.7% | 29.6% 38.5% | 10.7% 15.4% | 5.5% 11.5% | 2.7% 1.9% |
| Managers keep employees informed about things they need to know. | A B | 21.1% 24.5% | 33.3% 30.2% | 27.0% 35.8% | 11.2% 7.5% | 6.4% 1.9% |
| Supervisors keep employees informed about things they need to know. | A B | 26.9% 24.5% | 35.7% 30.2% | 23.6% 37.7% | 9.2% 5.7% | 4.6% 1.9% |
| Managers practice what they expect of others. | A B | 17.3% 22.6% | 35.6% 32.1% | 26.9% 32.1% | 12.7% 11.3% | 7.5% 1.9% |
| Supervisors practice what they expect of others. | A B | 20.68% 22.0% | 35.1% 36.0% | 28.6% 32.0% | 9.0% 10.0% | 6.7% 0.0% |

Section II. Integration and Stewardship

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|---------------------------------------------------------------------------------------------------|--------|--------------------|----------------|----------------|----------------|-------------------|
| People in our department are helpful to one another. | A B | 27.4% 31.4% | 37.2% 45.1% | 24.0% 19.6% | 8.2% 3.9% | 3.2% 0.0% |
| I sometimes get to work in groups or teams with people who work in other areas of the department. | A B | 11.3% 14.0% | 19.5% 28.0% | 36.0% 32.0% | 18.8% 20.0% | 14.5% 6.0% |
| I sometimes get to work on teams with city employees who work in other departments. | A B | 6.0% 8.0% | 10.0% 26.0% | 25.2% 22.0% | 27.6% 20.0% | 31.2% 24.0% |
| I am willing to pitch in wherever my help is needed in the department. | A B | 60.6% 60.0% | 29.7% 32.0% | 6.8% 6.0% | 2.4% 2.0% | .5% 0.0% |
| Managers encourage cooperation and teamwork. | A B | 33.3% 45.1% | 34.7% 41.2% | 19.4% 13.7% | 8.9% 0.0% | 3.7% 0.0% |
| Supervisors encourage cooperation and teamwork. | A B | 36.3% 43.1% | 32.7% 35.3% | 18.5% 19.6% | 6.9% 2.0% | 5.6% 0.0% |
| Managers respect and treat people fairly. | A B | 21.2% 33.3% | 36.7% 31.4% | 26.1% 29.4% | 9.4% 5.9% | 6.6% 0.0% |
| Supervisors respect and treat people fairly. | A B | 23.4% 25.5% | 38.2% 37.3% | 24.5% 35.3% | 7.6% 2.0% | 6.3 0.0% |

Section III. Learning, Thinking, Changing, and Renewing

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------------------------------------------------------|--------|--------------------|----------------|----------------|----------------|-------------------|
| Managers are open to new information and ideas. | A B | 22.5% 31.4% | 33.4% 39.2% | 27.4% 23.5% | 11.1% 5.9% | 5.6% 0.0% |
| Supervisors are open to new information and ideas. | A B | 24.4% 26.9% | 36.7% 28.8% | 26.9% 38.5% | 7.5% 5.8% | 4.4% 0.0% |
| Ideas and suggestions from employees are used in making decisions in our department. | A B | 11.7% 11.5% | 24.3% 28.8% | 42.2% 42.3% | 13.9% 17.3% | 7.9% 0.0% |
| Managers help employees understand their strengths and weaknesses in an honest, helpful way. | A B | 15.2% 15.7% | 28.5% 25.5% | 33.6% 39.2% | 14.2% 11.8% | 8.4% 7.8% |
| Supervisors help employees understand their strengths ... | A B | 18.5% 15.4% | 35.3% 23.1% | 29.7% 36.5% | 7.8% 17.3% | 8.7% 7.7% |
| Managers help to prepare employees for the future by providing them with opportunities ... | A B | 18.4% 28.8% | 28.2% 23.1% | 30.9% 30.8% | 13.6% 9.6% | 8.8% 7.7% |
| Supervisors help to prepare employees for the future ... | A B | 19.0% 21.1% | 34.8% 28.8% | 27.7% 34.6% | 10.2% 7.7% | 8.3% 7.7% |
| Employees who have attended workshops and training programs are given an opportunity to use what they have learned when they come back to the job. | A B | 19.0% 21.6% | 33.3% 31.4% | 33.1% 31.4% | 9.1% 9.8% | 5.5% 5.9% |
| Employees are involved in changing and improving the way that work gets done in our department. | A B | 13.7% 17.3% | 30.9% 26.9% | 32.9% 40.4% | 14.2% 11.5% | 8.3% 3.8% |

Section IV. Enabling, Empowering, and Enabling

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|--------------------------------------------------------------------------------------------------------------|-------|--------------------|-------------|----------------|-------------|-------------------|
| People in our department trust one another. | A | 11.7% | 29.9% | 30.4% | 16.3% | 11.7% |
| | B | 15.4% | 34.6% | 34.6% | 7.7% | 7.7% |
| Managers have confidence in the work of employees. | A | 20.7% | 41.2% | 26.6% | 7.8% | 3.8% |
| | B | 15.4% | 51.9% | 26.9% | 5.8% | 0.0% |
| Supervisors have confidence in the work of employees. | A | 25.2% | 43.4% | 21.8% | 6.6% | 2.9% |
| | B | 13.2% | 52.8% | 30.2% | 3.8% | 0.0% |
| Managers encourage honesty and openness in our department. | A | 26.9% | 34.7% | 22.7% | 9.7% | 6.0% |
| | B | 24.5% | 47.2% | 18.9% | 5.7% | 3.8% |
| Supervisors encourage honesty and openness in our department. | A | 28.8% | 35.9% | 21.9% | 7.1% | 6.3% |
| | B | 22.6% | 43.4% | 22.6% | 7.5% | 3.8% |
| Employees can make decisions to change the way that work gets done in order to prevent problems. | A | 16.9% | 32.2% | 29.3% | 12.9% | 8.7% |
| | B | 15.4% | 23.1% | 48.1% | 9.6% | 3.8% |
| Employees are encouraged to do things on their own without having to wait for instructions from supervisors. | A | 27.7% | 34.7% | 21.7% | 9.5% | 6.4% |
| | B | 17.0% | 49.1% | 17.0% | 17.0% | 0.0% |
| Our department rewards and celebrates good work among employees. | A | 15.4% | 22.4% | 26.3% | 21.4% | 14.4% |
| | B | 21.2% | 17.3% | 30.8% | 21.2% | 9.6% |

APPENDIX XI

Frequency Distribution of Survey Responses Among Leadership Team Members in Comparison Groups A and B

Section I. Vision and Values

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------|-------|--------------------|-------------|----------------|-------------|-------------------|
| The vision and values of my department are frequently shared with employees. | A | 19.5% | 39.0% | 36.6% | 2.4% | 2.4% |
| | B | 42.1% | 31.6% | 26.3% | 0.0% | 0.0% |
| I understand how my work relates to the vision of our department. | A | 54.5% | 31.0% | 4.8% | 7.1% | 2.5% |
| | B | 68.4% | 15.8% | 5.3% | 10.5% | 2.4% |
| I understand that I must work according to the values of our department. | A | 78.6% | 11.9% | 4.8% | 4.8% | 0.0% |
| | B | 57.9% | 31.6% | 10.5% | 0.0% | 0.0% |
| When I do not work according to the values of my department, I am held responsible for my actions. | A | 35.7% | 42.9% | 14.3% | 2.4% | 4.8% |
| | B | 31.6% | 26.3% | 31.6% | 10.5% | 0.0% |
| Managers keep employees informed about things they need to know. | A | 19.0% | 57.1% | 16.7% | 4.8% | 2.4% |
| | B | 26.3% | 31.6% | 42.1% | 0.0% | 0.0% |
| Supervisors keep employees informed about things they need to know. | A | 19.0% | 61.9% | 16.7% | 2.4% | 0.0% |
| | B | 31.6% | 31.6% | 36.8% | 0.0% | 0.0% |
| Managers practice what they expect of others. | A | 26.2% | 54.8% | 11.9% | 4.8% | 2.4% |
| | B | 36.8% | 15.8% | 42.1% | 5.3% | 0.0% |
| Supervisors practice what they expect of others. | A | 23.8% | 61.9% | 9.5% | 4.8% | 0.0% |
| | B | 31.6% | 26.3% | 36.8% | 5.3% | 0.0% |

Section II. Integration and Stewardship

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|---------------------------------------------------------------------------------------------------|--------|--------------------|----------------|----------------|---------------|-------------------|
| People in our department are helpful to one another. | A B | 42.9% 44.4% | 50.0% 50.0% | 7.1% 5.6% | 0.0% 0.0% | 0.0% 0.0% |
| I sometimes get to work in groups or teams with people who work in other areas of the department. | A B | 45.2% 41.2% | 35.7% 29.4% | 16.7% 23.5% | 2.4% 5.9% | 0.0% 0.0% |
| I sometimes get to work on teams with city employees who work in other departments. | A B | 31.7% 27.8% | 36.6% 16.7% | 17.1% 38.9% | 9.8% 11.1% | 4.9% 5.6% |
| I am willing to pitch in wherever my help is needed in the department. | A B | 76.2% 88.2% | 21.4% 11.8% | 2.4% 0.0% | 0.0% 0.0% | 0.0% 0.0% |
| Managers encourage cooperation and teamwork. | A B | 45.2% 61.1% | 40.5% 33.3% | 14.3% 5.6% | 0.0% 0.0% | 0.0% 0.0% |
| Supervisors encourage cooperation and teamwork. | A B | 38.1% 38.9% | 47.6% 50.0% | 14.3% 11.1% | 0.0% 0.0% | 0.0% 0.0% |
| Managers respect and treat people fairly. | A B | 26.2% 38.9% | 50.0% 33.3% | 19.0% 22.2% | 2.4% 5.6% | 2.4% 0.0% |
| Supervisors respect and treat people fairly. | A B | 31.0% 33.3% | 52.4% 44.4% | 16.7% 16.7% | 0.0% 5.6% | 0.0% 0.0% |

Section III. Learning, Thinking, Changing, and Renewing

| Survey Item | Group | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|--------------------|----------------|----------------|---------------|-------------------|
| Managers are open to new information and ideas. | A B | 23.8% 27.8% | 47.6% 44.4% | 21.4% 22.2% | 4.5% 5.6% | 2.4% 0.0% |
| Supervisors are open to new information and ideas. | A B | 16.7% 27.8% | 45.2% 44.4% | 38.1% 22.2% | 0.0% 5.6% | 0.0% 0.0% |
| Ideas and suggestions from employees are used in making decisions in our department. | A B | 15.0% 26.3% | 42.5% 42.1% | 37.5% 31.6% | 2.5% 0.0% | 2.5% 0.0% |
| Managers help employees understand their strengths and weaknesses in an honest, helpful way. | A B | 12.5% 0.0% | 35.0% 47.4% | 47.5% 47.4% | 2.5% 5.3% | 2.5% 0.0% |
| Supervisors help employees understand their strengths and weaknesses in an honest, helpful way. | A B | 10.0% 0.0% | 42.5% 36.8% | 45.0% 57.9% | 2.5% 5.3% | 0.0% 0.0% |
| Managers help to prepare employees for the future by providing them with opportunities to learn new job techniques, develop new job skills, and handle greater responsibilities. | A B | 31.7% 26.3% | 39.0% 15.8% | 24.4% 47.4% | 2.4% 10.5% | 2.4% 0.0% |
| Supervisors help to prepare employees for the future ... | A B | 24.4% 26.3% | 48.8% 15.8% | 26.8% 47.4% | 0.0% 10.5% | 0.0% 0.0% |
| Employees who have attended workshops and training programs are given an opportunity to use what they have learned when they come back to the job. | A B | 24.4% 15.8% | 41.5% 57.9% | 29.3% 15.8% | 2.4% 10.5% | 2.4% 0.0% |
| Employees are involved in changing and improving the way that work gets done in our department. | A B | 17.1% 36.8% | 43.9% 31.6% | 31.7% 31.6% | 4.9% 0.0% | 2.4% 0.0% |

Section IV. Enabling, Empowering, and Energizing Employees

| Survey Item | Status | Almost Always True | Mostly True | Sometimes True | Rarely True | Almost Never True |
|--------------------------------------------------------------------------------------------------------------|--------|--------------------|----------------|----------------|--------------|-------------------|
| People in our department trust one another. | A B | 9.8% 15.8% | 39.0% 31.6% | 43.9% 47.4% | 4.9% 5.3% | 2.4% 0.0% |
| Managers have confidence in the work of employees. | A B | 19.5% 15.8% | 39.0% 52.6% | 36.6% 31.6% | 2.4% 0.0% | 2.4% 0.0% |
| Supervisors have confidence in the work of employees. | A B | 12.2% 21.1% | 56.1% 47.4% | 29.3% 31.6% | 2.4% 0.0% | 0.0% 0.0% |
| Managers encourage honesty and openness in our department. | A B | 38.1% 31.6% | 35.7% 52.6% | 19.0% 15.8% | 4.8% 0.0% | 2.4% 0.0% |
| Supervisors encourage honesty and openness in our department. | A B | 23.8% 31.6% | 50.0% 47.4% | 23.8% 21.1% | 2.4% 0.0% | 0.0% 0.0% |
| Employees can make decisions to change the way that work gets done in order to prevent problems. | A B | 17.5% 21.1% | 42.5% 36.8% | 30.0% 36.8% | 7.5% 5.3% | 2.5% 0.0% |
| Employees are encouraged to do things on their own without having to wait for instructions from supervisors. | A B | 20.0% 26.3% | 37.5% 42.1% | 32.5% 31.6% | 7.5% 0.0% | 2.5% 0.0% |
| Our department rewards and celebrates good work among employees. | A B | 24.4% 31.6% | 41.5% 36.8% | 26.8% 31.6% | 4.9% 0.0% | 0.0% 0.0% |

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